JC564 U.S. PTO
10/01/99

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Washington D.C. 20231

Attorney Docket No. 027756-0101

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UTILITY PATENT APPLICATION TRANSMITTAL UNDER 37 C.F.R. 1.53(b)

Transmitted herewith for filing is the patent application of:

INVENTOR(S): ARTHUR WILLARD CHAFFEE

TITLE: INVESTMENT PORTFOLIO TRACKING SYSTEM AND METHOD

In connection with this application, the following are enclosed:

APPLICATION ELEMENTS:

x Specification (including Abstract of the Disclosure) - _29_ Total Pages
x Drawings - _44_ Total Sheets
x Appendix - _12_ Total sheets
x Declaration and Power of Attorney - _2_ Total Sheets
- _x_ Newly executed (original or copy)
- _ Copy from a prior application (37 CFR 1.63(d))
(relates to continuation/divisional boxes completed) - NOTE: Box below
- _ DELETION OF INVENTOR(S) - Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).

_ Incorporation By Reference (useable if copy of prior application Declaration being submitted)
The entire disclosure of the prior application, from which a COPY of the oath or declaration is supplied as noted above, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
_ Microfiche Computer Program (Appendix)
_ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
- _ Computer Readable Copy
- _ Paper Copy (identical to computer copy)
- _ Statement verifying identify of above copies

ACCOMPANYING APPLICATION PARTS:

_ Assignment Papers (cover sheet & document(s))
_ 37 C.F.R. 3.73(b) Statement (when there is an assignee)
_ English Translation Document (if applicable)
_ Information Disclosure Statement(IDS) with PTO-1449.
- _ Copies of IDS Citations

_ Preliminary Amendment
_ Return Receipt Postcard (MPEP 503)
x Small Entity Statement(s)
- _ Statement filed in prior application, status still proper and desired.

_ Certified Copy of Priority Document(s) with Claim of Priority (if foreign priority is claimed).
_ OTHER:

If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information:
_ Continuation _ Divisional _ Continuation-in-part (CIP) of prior application Serial No._.
_ Amend the specification by inserting before the first line the following sentence: --This application is a_ continuation, _ divisional or _ continuation-in-part of application Serial No._, filed _.--

CORRESPONDENCE ADDRESS:
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FEE CALCULATIONS: (Small entity fees indicated in parentheses.)

(1) For	(2) Number Filed	(3) Number Extra	(4) Rate	(5) Basic Fee $760 ($380)
Total Claims	48 - 20 =	28	x $18 (x $9)	$252
Independent Claims	8 - 3 =	5	x $78 (x $39)	$195
Multiple Dependent Claims			$260 ($130)	
Assignment Recording Fee per property			$40	
Surcharge Under 37 C.F.R. 1.16(e)			$130 ($65)	
			TOTAL FEE:	$827.00

METHOD OF PAYMENT:
A check in the amount of the above TOTAL FEE is attached. If payment by check is NOT enclosed, it is requested that the Patent and Trademark Office advise the undersigned of the period of time within which to file the TOTAL FEE. If payment enclosed, this amount is believed to be correct; however, the Commissioner is hereby authorized to charge any deficiency or credit any overpayment to Deposit Account No. 19-0741.

Respectfully submitted,

October 1, 1999
Date

Frederick D. Kim
Reg. No. 38,513

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Attorney Docket No. 027756-0101

In re patent application of

Arthur Willard Chaffee — Group Art Unit: Unassigned

Serial No. Unassigned — Examiner: Unassigned

Filed: Concurrently Herewith

For: INVESTMENT PORTFOLIO TRACKING SYSTEM AND METHOD

CERTIFICATE OF MAILING BY EXPRESS MAIL

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Assistant Commissioner:

I hereby certify that the following paper(s) and/or fee along with any attachments referred to or identified as being attached or enclosed are being deposited with the United States Postal Service as Express Mail (Express Mail Label No. EL071208750US) under 37 C.F.R. § 1.10 on the date of deposit shown below with sufficient postage and in an envelope addressed to the Assistant Commissioner for Patents, Box Patent Applications/CPA, Washington D.C. 20231.

1. Application Transmittal Sheet
2. Specification/Abstract - 29 pages
3. Drawings 44 sheets enclosed
4. Appendix 12 sheets enclosed
5. Declaration and Power of Attorney
6. Verified Statement Claiming Small Entity Status - Independent Inventor
7. Postcard enclosed
8. Check Nos. 12229 and 12275

Respectfully submitted,

Frederick D. Kim

October 1, 1999
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Application Serial No. : Not Assigned

Filed: Concurrently herewith

For: INVESTMENT PORTFOLIO TRACKING SYSTEM AND METHOD

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS (37 CFR 1.9(f) AND 1.27 (c)) — INDEPENDENT INVENTOR

As the below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention INVESTMENT PORTFOLIO TRACKING SYSTEM AND METHOD, described in

(X) the specification filed herewith
() application serial no._____, filed _____
() patent no _____, issued _____

I have not assigned, granted, conveyed or licensed and are under no obligation under contract or law to assign, grant, convey, or license any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization to which we have assigned, granted, conveyed, or licensed or are under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below.

(X) no such person, concern or organization
() persons, concerns or organizations listed below*

* NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities: (37 CFR 1.27)

NAME: _____
ADDRESS: _____

() INDIVIDUAL () SMALL BUSINESS CONCERN () NONPROFIT CORPORATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate: (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING: Arthur Willard Chaffee
ADDRESS OF PERSON SIGNING: 2237 Del Mar Scenic Parkway
Del Mar, CA 92014

SIGNATURE: Arthur Willard Chaffee DATE: 9-30-99

Express Mail Label No. EL 641 005 140 US

INVESTMENT PORTFOLIO TRACKING SYSTEM AND METHOD

BACKGROUND OF THE INVENTION

1. Field of the Invention

The invention relates generally to a management system for investments and, more particularly, to a system and method that track performance of investments that are kept in one or more accounts with a computer that accesses investment records from the account databases over a computer network, such as the Internet, and generates comprehensive accounting and financial reports of security investment portfolios.

2. Description of the Related Art

On-line trading has increased at a rapid pace in recent years due in large measure to the ever increasing popularity of the Internet. On the investor's side, the popularity of on-line trading has come in large part from lower commissions, easy access to research and news information, real-time quote services, real-time confirmation of trading, and the ability to view such information in a graphic or tabular format upon user demand.

On the services side, more financial institutions have begun offering on-line trading services to meet the increased demand from investors. Managing investor accounts on-line is attractive to financial institutions for several reasons. First, on-line trading requires significantly less manpower to operate than traditional investment services provided through telephone or in person. This is because many of the tasks that were previously handled by brokers and data entry personnel can be carried out automatically by a computer. In essence, the investor becomes the broker and the data entry person, as it is the investor who makes a decision on a trade based on the research that he or she has conducted and remotely enters the information for executing the trade. Second, financial institutions have discovered that the ease of on-line trading invites more trading. Therefore, whatever

discounts in commissions that are offered to investors is made up in part by the increased trading volume.

It is common today for an investor to have multiple trading accounts. An investor may have one trading account with a traditional broker, one with a favorite on-line broker, and another with an on-line broker offering the lowest commission on trades. The investor typically receives a monthly statement from each of these brokers. The monthly statement provides a summary of the trading activity for that month and a snapshot of the investments currently held. If the account is accessible on-line, the account holder may retrieve this and other information over the Internet, such as a history of transactions, investments currently held, and a portfolio summary indicating cash available, amount borrowed on margin, value of the investments currently held, and net portfolio value.

To keep track of all of his or her investments collectively, the investor will need to purchase an investment tracking software or set up an account at an investment management web site. These forms of tracking investments, however, are very limiting. The investment tracking software that is available are sometimes very limiting in that it is not plugged into a database of current stock prices and is thus unable to update the status of the investment portfolio in real-time. The investment management web site is limiting in that it keeps track of only the investments that are currently held and not sold positions. Once an investment is sold or otherwise closed out, that investment is deleted from the portfolio. As a result, the investor is unable to track the performance of all of his or her investments, past and present.

In general, the investment portfolio tracking systems that are currently available provide only the basic information about investments. For example, most systems are available to provide a gross rate of return on a stock investment based on that stock's current price and the purchase price, but they do not take into account other factors that are relevant in computing a more representative rate of return, e.g., the holding period, the commissions that were paid, the amount of cash that was invested for that investment, the tax liability if that investment was closed out, etc.

Therefore, investors are currently unable to track their investment portfolio in a meaningful and useful way. Moreover, if they have multiple accounts, they are unable to track the performance of their investments collectively, unless they undergo the cumbersome process of entering their investment transactions into a software or web site database. Even so, they would still be unclear about the true collective performance of their investment portfolios, because they would receive only the basic performance information which does not take into account all of the factors that are necessary to give a meaningful rate of return on the money invested.

There currently is no standardization of accounting and financial presentation of investment portfolios, which gives pertinent, easy to understand information to investors. Further, there currently is no financial service or software that tracks the performance and current real net worth of a portfolio of investments after commissions, other costs, margin interest and taxes. An investor desiring such information needs to perform the analysis using a spreadsheet, but this way of generating tracking investments is prone to errors, time consuming, and virtually impossible to do for an extended period of time.

SUMMARY OF THE INVENTION

An object of the invention is to perform the accounting and financial analysis for the investor to produce comprehensive reports on the performance and/or current real net worth of an investment portfolio automatically based on the transaction data of the investment portfolio.

Another object of the invention is to provide an investment portfolio tracking system that receives a user request to generate a performance report and automatically retrieves the necessary transaction data to generate the performance report from one or more of the user's trading accounts that are kept at different places.

Still another object of the invention is to provide an investment tracking system that is able retrieve transaction data from a plurality of different accounts and to generate a

single financial report that is representative of the collective performance of all of the different accounts.

The above and other objects of the invention are achieved with a server computer, programmed as an application service provider (ASP) or a web site, that is connected over a computer network, such as the Internet, to different account databases and to computers of end users, which include individual investors and professional money mangers.

The web site is responsive to user requests made using a browser interface, programmed on the user's computer, e.g., Netscape Navigator or Internet Explorer, to produce a double-entry, real-time presentation of various user-requested financial reports. One form of a user-requested financial report is similar to a balance sheet and profit/loss statements, including commissions, other costs, margin, margin interest, cash invested, and related income tax expenses and liabilities. The investments or securities may be any publicly traded securities including stocks and bonds (individually and/or mutual funds), both short and long positions, and options, both puts and calls.

The financial reports generated by the investment portfolio tracking system according to embodiments of the invention comply with GAAP (General Accepted Accounting Principles) and are completely auditable. Further, the single entry to double entry system employs built-in checks and balances so that accounting errors are eliminated.

Additional objects, features and advantages of the invention will be set forth in the description of preferred embodiments which follows.

BRIEF DESCRIPTION OF THE DRAWINGS

The invention is described in detail herein with reference to the drawings in which:

Figure 1 is a schematic illustration of the investment portfolio tracking system according to an embodiment of the invention;

Figure 2 is a sample home page of a web site that implements the investment portfolio tracking system according to an embodiment of the invention;

Figure 3 is a sample registration page of the web site;

Figure 4 is a page that is displayed to the user when the user successfully logs into the web site;

Figure 5 is a page displayed to the user when the user chooses to add a portfolio;

Figure 6 is sample page for inputting tax payment information;

Figures 7A-7F are sample pages for inputting securities transaction data;

Figure 8 is a portfolio summary page that shows the balance sheet and the net worth activity for that portfolio;

Figures 9A-9V are several other sample reports generated by the investment portfolio tracking system according to an embodiment of the invention;

Figure 10 is a sample input screen for manually classifying stocks into industry sectors;

Figure 11 is a flow diagram of the program steps that are executed by the remote server 10 when the user logs into the web site and accesses a portfolio;

Figure 12 is a sample input screen for inputting hypothetical sales and a sample output screen generated after execution of the hypothetical sales; and

Figure 13 is a graphical report that is based on the performance comparison between one or more portfolios and a stock index.

The accompanying drawings, which are incorporated in and constitute a part of the specification, illustrate presently preferred exemplary embodiments of the invention, and, together with the general description given above and the detailed description of the preferred embodiments given below, serve to explain the principles of the invention.

DETAILED DESCRIPTION OF THE PREFERRED EMBODIMENTS

The investment portfolio tracking system according to an embodiment of the invention is illustrated in Figure 1 as a remote server 10, including a processing unit 20 and a database 30. The remote server 10 is an internet ASP (Application Service Provider) or a web site and is programmed as an investment portfolio management system for use by individual investors and professional money managers.

In another embodiment of the invention, the remote server 10 is an intranet server for a brokerage house, an investment bank, an on-line broker, or any other entity that manages investment accounts. Hereinafter, a brokerage house, an investment bank, an on-line broker, or any other entity that manages investment accounts will be referred to as a "financial institution." In general, a "financial institution" is any entity, virtual or real, that sells, deals, and/or warehouses currency, equity investments, and/or mortgages.

The remote server 10 is connected to a plurality of user computers 40 over a network connection 50, to a plurality of financial institution databases 60 over a network connection 70, to a security price database 80 over a network connection 90, and to a currency exchange rate database 81 over a network connection 91.

The user computers 40 may take a variety of forms. They may be personal computers, desktop and laptop, hand-held computers capable of both a hard-wire and wireless network connection, e.g., Palm Pilot®. The network connections 50, 70, 90, 91 may be any one or combination of the following: Internet, intranet, extranet, local area network (LAN), wide area network (WAN), and the connections may be hard-wired or wireless, e.g., cellular, PCS, infrared, satellite, etc., or any combination of these.

The remote server 10 is connected to the network connections 50, 70, 90, 91 through a bi-directional communication interface 15 for sending out requests for data, such as transaction data and security price data, and receiving the requested data. It also includes an input management unit 16 for receiving identification data about an investment portfolio and a request to generate a performance report of the investment portfolio from a client computer, and an output management unit 17 for transmitting data representative of the performance report to the requesting user. The processing unit 20 of the remote server 10 is programmed to generate the performance report of the investment portfolio from the transaction data and the security price data.

The interface between the user and the remote server is a browser, e.g., Netscape Navigator or Internet Explorer, that is programmed on the user's computer. Where the user's computer is a hand-held computer, the interface between the user and the remote

server is a microbrowser. The input screens are user friendly and menu driven. Examples of the inputs screens will be given below.

Figure 2 is a sample home page that is displayed to a user who accesses the web site. The user accesses this home page by typing in its URL (Uniform Resource Locator), e.g., "www.realnetworth.com," into the browser. The home page includes a welcome message and hyperlinks 101, 102 to two other pages of the web site. If the hyperlink 101 is selected, the user is prompted to enter his or her username and password, and if the username and password are verified as being registered, a general information web page shown in Figure 4 is displayed to the user. If the hyperlink 102 is selected, a registration web page shown in Figure 3 is displayed to the user.

The registration web page prompts the user to select a username and password, to enter his or her contact information including company name (if any), address, phone number, and e-mail address, and to specify the service plan desired— (i) consultant, which is designed for those who manage portfolios on behalf of clients and does not impose any portfolio limit; professional, which is designed for professional traders and imposes a limit of 10 portfolios; and investor, which is designed for individual investors and imposes a limit of 5 portfolios. Other service plans may, of course, be provided. Each of these selections are hyperlinked to a web page (not shown) that describes the pricing structure and the service plan in more detail. This web page also prompts the user for payment method and information. All of the inputted information is maintained in the database 30 of the remote server 10.

Further, the end user of the investment portfolio tracking system need not be individuals, professionals, or consultants. The end user may be the government, e.g., the Internal Revenue Service, the stock exchanges, e.g., the New York Stock Exchange, American Stock Exchange and NASDAQ, or any of the financial institutions.

The general information web page shown in Figure 4 displays the username, the company name (if any), and the list of portfolios that the user has set up. It also displays the user's state and federal tax rates for capital gains, both short term and long term and the

method of interest compounding. The default values and selection are shown in Figure 4, and the user may change any of the values and selection. The web site will store the updated information in the database 30 and display them the next time the user accesses this page.

The general information web page also provides four hyperlinks for portfolio management, 121-124, a hyperlink 125 to input tax payments, and a hyperlink 127 for entering portfolio transaction data manually. Hyperlink 121 (View) displays a portfolio summary for the portfolio that the user specified in menu 126. In this example, the user specified the portfolio AWC, and so, upon selecting hyperlink 121, the portfolio summary for the portfolio AWC will be displayed. An example of a portfolio summary is shown in Figure 8. If the user specifies the portfolio ALL and selects the hyperlink 121, a combined portfolio summary of all the portfolios listed in the menu 126 will be displayed.

Hyperlink 122 (Add) permits the user to add a portfolio using the portfolio input page illustrated in Figure 5. The portfolio input page prompts the user to specify a portfolio name and to select between an automatic or manual portfolio tracking method. With an automatic portfolio tracking method, the user inputs identification information about the investment account in which this portfolio is kept. The identification information includes the name of the financial institution (Portfolio Location), the account name or number, and the password for accessing the transaction data for that account from the financial institution database. With a manual portfolio tracking method, the user inputs all the transaction data related to that portfolio using the input screens shown in Figures 7A-7F.

Hyperlink 123 (Edit) permits the user to edit any of the information that he or she entered when adding the portfolio. One aspect of the portfolio that the user may edit is the industry classifications for each of the stocks in the portfolio. The editing of the industry classifications is carried out using the input screen of Figure 10. Hyperlink 124 (Delete) permits the user to delete the portfolio that the user specified in the menu 126.

Hyperlink 125 (Tax Payments) displays a tax payment page illustrated in Figure 6. The tax payment page is used to input the tax payments which the user may make from quarterly taxes needed on ordinary income as well as on gains made on stock trades. This information is not available to financial institution databases. Therefore, regardless of whether the user selected an automatic or manual method of tracking his or her portfolio, the tax payment information must be entered manually using this page. However, it is possible to automate this data gathering procedure also, e.g., by tapping into database of the Internal Revenue Service, by accessing an on-line bank account from which the tax payments are regularly made, or by accessing a database of the Certified Public Accountant who regularly makes the tax payments on behalf of the user, etc.

When hyperlink 127 (Manual Inputs) is selected, the user is prompted to enter the transaction data for the portfolio specified in the menu 126. The input screens for entering the transaction data are shown in Figures 7A-7F. The input screen of Figure 7A records BUY transactions. The input screen of Figure 7B records SELL transactions. The input screen of Figure 7C records adjustments to the margin balance. The input screen of Figure 7D records dividend distributions. The input screen of Figure 7E records stock splits. The input screen of Figure 7F records cash adjustments. All manually entered data are stored in the database 30.

The processing unit 20 of the remote server 10 is programmed to generate one or more financial reports requested by the user based on the transaction records of the user that are retrieved from the database 30 and/or the financial institution databases 60, and the current or past security price information retrieved from the security price database 80. Preferably, the current price of a security reflects the most recent sale price of that security as traded in the exchange in which that security is listed. However, the invention may be implemented with a database in which the current price of a security is the most recent sale price of that security, including trades that occur in after-hours exchanges.

The financial report request of the user is sent from the user computer 40 to the remote server 10 which then determines the location of the necessary data and retrieves it.

Once the remote server 10 has retrieved the necessary data, the system can perform the necessary processing and calculations to generate the data for the financial reports requested by the user. The data is then formatted into the requested report presentation and transmitted back to the user's web browser screen. The user is able to view the report and then print the report if desired. Examples of the financial report output screens are provided below. It is not necessary, although it is possible, to store the financial report output at the remote server 10, because the user may store it locally on his or her computer 40 if the user wants to keep an electronic record of the report.

The web page illustrated in Figure 8 provides a financial position report of a user's investment portfolio as of the current date and a default period. It includes a balance sheet including the real net worth of the user's investment portfolio (upper half), and the profit/loss activity of the user's investment portfolio for a set period (lower half). The user may change the relevant dates for this report by selecting the hyperlink 201 or the user may select a more detailed financial report by selecting any one of the links 202-220 (hyperlinks are depicted in Figure 8 by shading).

A number of other financial reports can be generated using the invention. These reports can be selected by using the drop down menu 221 illustrated in Figure 8. The drop down menu includes all available financial reports. They are listed in the table below which provides an explanation of the financial report and the corresponding figure number. All of these reports comply with GAAP (General Accepted Accounting Principles) and are completely auditable.

Report	Figure	Description
Bought	9A	History of BOUGHT transactions
Sold	9B	History of SOLD transactions.
Margin Alert	9C	Indicates to the user those stocks that, on an individual basis, have fallen below the margin maintenance requirements.
Holding Period	9D	Calculates the holding period for each stock (in months and days) in portfolio.
Dividend	9E	History of dividend distributions, cash and stock.
Yield	9F	Calculates the total, monthly, and annualized yield for the stocks that distributed dividends.

Report	Figure	Description
Commission	9G	History of commissions that were charged to both BOUGHT and SOLD transactions.
Portfolio Status	9H	Calculates the current gain/loss for each stock in portfolio.
Cash Activity	9I	History of cash transactions, deposits, withdrawals, interest, etc.
Cash Invested	9J	History of cash investments made by the user.
Margin Activity	9K	History of margin loans in connection with stock purchases.
Margin Interest Expense	9L	History of margin interest expenses that were incurred in connection with the margin loans.
Margin Interest Payable	9M	History of margin interest payments based on whether the investment in stocks procured on margin was closed out.
Gross Gain/Loss (Month End)	9N-1	Calculates gain/loss, both realized and unrealized, for each stock in portfolio, without taking into account commissions, other costs, margin interest, and taxes. The period for the report is "Month End," which means that the report looks at the performance of investment purchases made during a particular month, by freezing that month's performance and not reflecting any after month end activity.
Net Gain/Loss (Month's End)	9N-2	Calculates gain/loss, both realized and unrealized, for each stock in portfolio, while taking into account commissions, other costs, and margin interest. This is a "Month End" report and taxes are not accounted for in this report.
Gross Gain/Loss (Year-To-Date)	9N-3	Calculates gain/loss, both realized and unrealized, for each stock in portfolio, without taking into account commissions, other costs, margin interest, and taxes. The period for this report is "Year-To-Date," which means that the report reflects current year's performance through the date of the report. This enables the user to measure the current performance of the portfolio or to see the year-to-date performance of securities bought in previous months.
Net Gain/Loss (Year-To-Date)	9N-4	Calculates gain/loss, both realized and unrealized, for each stock in portfolio, while taking into account commissions, other costs, and margin interest. This is a "Year-To-Date" report and taxes are not accounted for in this report.
Gross Return on Securities (Month's End)	9O-1	Similar to Gross Gain/Loss (Month End) report, and in addition calculates a gross, monthly, and annualized rate of return based on the holding period.
Gross Return on Securities (Year-To-Date)	9O-2	Similar to Gross Gain/Loss (Year-To-Date) report, and in addition calculates a gross, monthly, and annualized rate of return based on the holding period.

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Report	Figure	Description
Net Cash Return on Securities (Month's End)	9P-1	Similar to Net Gain/Loss (Month End) report, and in addition calculates a gross, monthly, and annualized rate of return based on the holding period.
Net Cash Return on Securities (Year-To-Date)	9P-2	Similar to Net Gain/Loss (Year-To-Date) report, and in addition calculates a gross, monthly, and annualized rate of return based on the holding period.
IRS Capital Gain/Loss Form	9Q	Generates an IRS form Schedule D. Preferably, this report is automatically sent to CPA, lawyer, maybe even IRS.
Taxes Expense	9R	Calculates the state and federal tax liability, both realized (current) and unrealized (deferred), for all stocks in portfolio.
Taxes Payable	9S	Attributes taxes paid on realized stock transactions and calculates estimated taxes owed.
Cash Net Proceeds	9T	Calculates the gain/loss for each stock in portfolio that has been sold while taking into account all costs including taxes.
Net Worth	9U	Calculates the gain/loss for all stocks in portfolio while taking into account all costs including taxes.
Net Worth Financial Position (HOLD)	9V-1	Similar to Figure 8, but includes an assumption that all stocks in portfolio are being held.
Net Worth Financial Position (SOLD)	9V-2	Similar to Figure 8, but includes an assumption that all stocks in portfolio has been sold.
Net Worth Financial Position	9V-3	Same as Figure 8.
Others	App. A	Year-To-Date - Net Book Value Return Month End - Net Book Value Return Year-To-Date - Gross Cash Return Month End - Gross Cash Return

Each report shown in Figures 9A-9V has two sections, an input section and an output section. The input section displays parameters that the user may edit, and the output section displays the content of the report. The input section also has a "PROCEED" button

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which the user may use to regenerate the output section based on different parameters that he or she specified.

When each report is accessed from the portfolio summary page (Figure 8), the input page displays the default values for the parameters and any values that are passed from the portfolio summary page. For example, the date range and the portfolio selection are passed from the portfolio summary page. The user is not constrained to these parameters, and may edit these parameters to customize the report that is produced in the output section.

For example, Figure 9H is a Portfolio Status Report as of June 30, 1999 for all stocks in the portfolio AWC. If the user wishes to generate a Portfolio Status Report with different parameters, e.g., for an earlier date, and/or for all of his or her portfolios, the user would input the earlier date in the input box 230, select ALL from the portfolio drop-down menu 231, and click on "PROCEED." The new Portfolio Status Report that is produced will be generated based on the new inputs.

The portfolio drop-down menu 231 of all reports (Figures 9A-9V) contains the same selections as the portfolio drop-down menu 126 of the General Information web page (Figure 4). In addition, the portfolio drop-down menu 231 identifies the sectors in which the user holds investments, e.g., Transportation, Internet, Semiconductor, Retail, etc. If the user selects one of the sectors and clicks on "PROCEED," the financial report that is generated will be a composite report for all stocks in his or her portfolio that belong in that sector. The classification of a stock into a particular sector is carried out by the remote server 10 based on the S&P classifications.

Alternatively, the user may define the classifications employing an input screen illustrated in Figure 10. For each stock in the user's portfolio, the user is able to manually select up to two classifications and specify weighting factors as the user finds appropriate. The classifications that are displayed when the user accesses this input screen is either the most recent classifications specified by the user or, in the absence of this, the classifications as assigned by Standard and Poor (S&P). All of the S&P classifications are available to the user to choose from, in a drop-down menu format, when manually classifying the stocks in

his or her portfolio. When the user clicks on "PROCEED," the changes specified by the user will be stored.

The financial reports can be outputted in a variety of different formats, in either cents or whole dollars. The format shown in Figures 9A-9V may be generated by the browser based on HTML (Hyper-Text Markup Language). A more stylized output incorporating images, graphics, and charts, e.g., in a PDF format, may be printed using the "PRINT" button or graphed using the "GRAPH" button from the financial report data.

Figure 11 is a flow diagram of the program steps that are executed by the processing unit 20 of the remote server 10 when the user logs into the web site and requests one of the reports.

First, in Step 310, the username and password are checked against the list of valid usernames and passwords stored in the database 30. If either the username or the password is not valid, the program exits and the user is advised that the username and/or password are not valid. If the username and password are valid, the account identification information of the portfolio(s) selected using the menu 126 of Figure 4 is retrieved in Step 320. This information includes, for each portfolio, the name of the financial institution, the account name or number, and the password for accessing the financial institution database 60. In Step 330, the remote server 10 transmits a request for transaction data, including the account name or number and the password, to one or more of the financial institution databases 60. The remote server 10 waits for a response from the financial institution databases 60 in Step 340, and when the requested data arrives, processes the data to figure out what security price data that it needs, e.g., security name and relevant dates, and transmits a request for security prices to the security price database 80 (Step 350). The remote server 10 waits for a response from the security price database 80 in Step 360, and when the requested data arrives, processes the this data and the transaction data it received from the financial institution databases 60 to produce the data for generating financial position report illustrated in Figure 3 (Step 370). The actual formatting of this data to be

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placed in browser viewable format is done in Step 380 and the transmission of the formatted data is done in Step 390.

The retrieval of transmission data from the financial institution databases 60 may be performed in other ways that do not require the remote server 10 to act as a surrogate to the users. For example, the financial institutions may provide the investment portfolio management system according to another embodiment of the invention direct access to their databases in exchange for a fee, e.g., a flat annual fee for each user of the system who has his or her trades handled by them. This fee arrangement will provide a monetary incentive to the financial institutions to promote to their clients the use of the investment portfolio management system described herein. The annual fee incentive can be enhanced with branding dollars, in exchange for which the investment portfolio management system of the invention promotes those financial institutions who are providing access to their databases.

Further, as described above, the investment portfolio management system according to an embodiment of the invention provides the user with an option of inputting transaction data for a portfolio manually. Users who choose this option are offered discounts on using the investment portfolio management system, because the financial institution databases at which the accounts for these users are kept need not be accessed. As a consequence, the financial institutions need not be paid a fee for these accounts and the resulting savings can be passed onto the users. This option may be preferred by investors who make only a handful of trades per year. Further, the manual inputs permit the user to create and track a "paper trade" or mock investment portfolio.

The investment portfolio management system according to an embodiment of the invention may also be implemented with a feature to handle "what-if" scenarios defined by the user. With this feature, the user designates one or more currently-held securities for a hypothetical sale (as of the date specified on the input screen) and generates a performance report of his or her investment portfolio after taking into account this hypothetical sale or sales. Figure 12 illustrates a sample input screen for a user who has accessed the what-if scenario hyperlink. The input screen lists all of the securities that the user is currently

holding in the specified portfolio. The user designates a listed security for a hypothetical sale by checking the box that is displayed next to that security. A box is also displayed next to the option "Sell All Securities."

The "what-if" scenario feature is useful, because it allows the user to see what the true return on his investment would be if the user decides to sell that security on that day. Absent the what-if scenario, the return on investment is based on unrealized gains and losses. Unrealized gains and losses do not take into account the commission that is charged upon sale of a security and the tax consequences on the realized gains and losses.

The investment portfolio management system according to an embodiment of the invention further provides a unique "single entry" method of producing a "double entry" accounting presentation, and produces the tracking and reporting of cash accounts, cash invested, and margin accounts.

The Securities and Cash Invested Return on Investment reports (Figures 9O-1, 9O-2, 9P-1, 9P-2) provide a weighted monthly and annualized rate of returns to correctly account for securities that are held less than 30 days and for securities that are bought mid-month and sold before the close of that month.

The Gain/Loss reports (Figures 9N-1, 9N-2, 9N-3, 9N-4), the Securities Return on Investment reports (Figures 9O-1, 9O-2), and Cash Return on Investment reports (Figures 9P-1, 9P-2), all described above, have four different presentation types. They are categorized as unrealized (investments that are held), realized (investments that are sold), short-term (investments that are held less than twelve months), and long-term (investments that are held more than twelve months). The short-term and long-term periods, as defined, are the current time periods recognized by the Internal Revenue Service.

With these categories, the investment portfolio management system according to an embodiment of the invention can calculate the state and federal tax liabilities that result from a stock transaction, using identified short-term and long-term tax rates for state and federal taxes that the user specifies. State and federal taxes may also be presented in deferred and current categories relating to unrealized and realized gains and losses,

respectively. The investment portfolio management system also gives the user the capabilities of e-mailing quarterly reports to his or her tax preparer who provides estimated tax payment services.

Based on the all the reports that are generated, investment portfolio management system produces net worth financial position statements for the investor. This statement may be for one portfolio or for all portfolios. The financial position statement, which is comparable to a balance sheet, is generated for a point of time, that the user specifies. The statement takes into account current value of securities, reserve for taxes on sold securities, net cash proceeds on sold positions, margin and margin interest, cash invested, state and federal taxes (unrealized, realized and short-term, long-term), and net worth.

The detailed net worth activity statement, which is comparable to a profit/loss statement, is provided for a period of time. It reflects short-term gains and losses, both unrealized and realized, and long-term gains and losses, both unrealized and realized, dividends, cash and stock, interest income, commissions, other costs, margin interest, and state and federal taxes. These results are also presented as a percentage basis of total revenues, a percentage basis of bought basis, and a percentage basis of average outstanding cash invested. These statements are presented in real-time, with an option for providing automatic updates at any period specified by the user, e.g., 1 minute, 10 minutes, 1 hour, etc.

Embodiments of invention described above rely in part on formulas to generate the reports illustrated in Figures 9A-9V. These formulas have been tested out on a master spreadsheet, which is attached hereto as Appendix A. Appendix B provides a formula reference sheet which sets for the source or formula for the numbers that are shown in the master spreadsheet. Appendix A also contains four reports, labeled "Others" in the report table provided above. These reports are provided as part of the drawings.

In the description given herein, a purchase or buying of a security includes both buying of a security for subsequent selling thereof for realization of the gain or losses based on the rise or fall of the security's price, and selling of a security for subsequent buying

thereof for realization of the gains or losses from the fall or rise in the security's price. This latter method is known as "short selling." The invention is also applicable to options investing, in which the buying is referred to as a "call" and the short selling is referred to as "put." The invention is further applicable to mutual funds, bonds, and all other types of investment vehicles.

Also, the financial report generating feature of embodiments of the invention described above may be implemented in software that resides in a server computer for a particular financial institution. The server computer may be an intranet server or a local area network server. In any event, brokers, employed by the financial institution, would access this server computer over the internal network (intranet), and generate various financial reports for clients who have accounts with the financial institution. In the course of generating the financial reports, the server computer would tap into the database of the financial institution to obtain the necessary transaction records and security price data. In this implementation, access to an external database is not necessary.

Further, the investment portfolio tracking system may be configured to generate reports in several different foreign languages and to be applicable not only to investments bought and sold in dollars, but also to investments bought and sold with foreign (or hypothecated) currencies. The conversion of the report data into dollars or any other user-specified currency would be based on the currency exchange rate retrieved from the currency exchange rate database 81.

In another embodiment of the invention, the user may conduct a comparison between the performance of any one or combination of his or her investment portfolio and the general indices, e.g., Dow Jones Industrial index, S&P 500 index, NASDAQ Composite index, Russell 2000 index, etc. A sample comparison report is shown in Figure 13. Other types of comparisons are possible too. For example, the combined performance of stocks classified in the Internet sector may be compared against a common Internet index, e.g., Goldman Sachs Internet Index.

In the input screen for this report, the user specifies one or more portfolios that he or she would like to compare and the index against which the one or more portfolios are to be compared. In the example, ALL portfolios are specified for comparison against the Dow Jones Industrial index. The comparison result is displayed as a historical chart as illustrated in the bottom part of Figure 13.

The comparison need not be against an index. It may be against a single stock. For example, if the user wanted a graphical report on how his or her semiconductor stocks performed against Intel Corp., which is considered to be a bellweather stock in the semiconductor sector, the user manually inputs the ticker symbol for Intel Corp.—INTC—and click on "COMPARE."

While particular embodiments of the invention have been illustrated and described above, it will be clear that the invention can take a variety of forms and embodiments within the scope of the appended claims.

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We claim:

1. A method of generating performance data on investments held in a trading account, said method comprising the steps of:

receiving a request for the performance data from a user over a computer network;

accessing a first database that is remotely located with respect to the requesting user, in which transaction records of said trading account are maintained;

retrieving transaction records that are necessary to generate the performance data from said first database;

accessing a second database in which security price data are maintained;

retrieving security price data that are necessary to generate the performance data from said second database;

generating the performance data based on the retrieved transaction records and the retrieved security price data; and

transmitting the performance data to the requesting user over the computer network.

2. The method according to claim 1, wherein the security price data is maintained in the second database in real-time.

3. The method according to claim 2, wherein the performance data includes a net worth calculation of the investments.

4. The method according to claim 3, wherein the net worth calculation includes calculation of commissions and tax liability.

5. The method according to claim 4, wherein the net worth calculation includes margin interest cost.

6. The method according to claim 1, wherein the first database is maintained by an institution that is managing the trading account.

7. The method according to claim 1, wherein the computer network comprises the Internet.

8. The method according to claim 7, further comprising the step of receiving identifying data about the trading account from the user over the computer network, wherein the step of accessing the first database includes the step of transmitting the identifying data to a manager of the trading account and receiving permission from the manager to access the first database.

9. A method of generating performance data on investments held in multiple trading accounts, said method comprising the steps of:

receiving a request for the performance data;

accessing databases in which transaction records of said trading accounts are maintained;

retrieving transaction records that are necessary to generate the performance data from said databases; and

generating the performance data based on the retrieved transaction records.

10. The method according to claim 9, further comprising the step of retrieving security price data from another database, wherein the performance data is generated based on the retrieved transaction records and the security price data.

11. The method according to claim 10, wherein the performance data includes a net worth calculation of the investments.

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12. The method according to claim 11, wherein the request is received over a computer network from a user and further comprising the step of transmitting the performance data to the user over the computer network.

13. The method according to claim 12, further comprising the step of receiving identifying data about the trading accounts from the user over the computer network, wherein the step of accessing the databases includes the step of transmitting the identifying data to a manager of the trading accounts and receiving permission from the manager to access the databases.

14. The method according to claim 13, wherein the trading accounts are managed by more than one manager.

15. The method according to claim 14, wherein the computer network comprises the Internet.

16. The method according to claim 10, wherein the security price data is updated in real-time and further comprising the step of generating an update of the performance data on a periodic basis based on the real-time security price data.

17. A method of producing a balance sheet for an investment portfolio comprising the steps of:

automatically retrieving transaction records of the investment portfolio, the transaction records including data on cash invested and security purchases and sales;

automatically calculating entries on an assets side of the balance sheet based on the transaction records; and

automatically calculating entries on a liabilities side of the balance sheet based on the transaction records.

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18. The method according to claim 17, wherein the step of retrieving includes the step of accessing a database that is maintaining the transaction records of the investment portfolio over a computer network.

19. The method according to claim 17, wherein the investment portfolio comprises investments held in multiple trading accounts and the step of retrieving includes the step of accessing databases that are maintaining the transaction records of the investment portfolio over a computer network.

20. The method according to claim 19, wherein the step of accessing the databases includes the step of transmitting identifying data about the trading accounts to managing institutions who are managing the trading accounts and receiving permission from the managing institutions to access the databases.

21. A method of generating a tax report for an investment portfolio, said method comprising the steps of:

receiving a request from a user to generate the tax report over a computer network;

accessing a database of a managing institution that is managing the investment portfolio, the database including transaction records of the investment portfolio including data on investment purchases and sales;

calculating a tax liability based on the transaction records; and

generating a tax liability report based on the calculated tax liability.

22. The method according to claim 21, further comprising the step of transmitting the tax liability report over the computer network to said user.

23. The method according to claim 21, wherein the investment portfolio comprises investments held in multiple trading accounts at different institutions and

databases of said different institutions are accessed to retrieve the transaction records of the investment portfolio.

24. The method according to claim 23, wherein the step of accessing the databases includes the step of transmitting identifying data about the trading accounts to the different institutions and receiving permission from the institutions to access the databases.

25. A method of generating a performance report for an investment portfolio based on a hypothetical sale of at least one investment in the investment portfolio, said method comprising the steps of:

receiving a request for the performance report from a user over a computer network, the request specifying the hypothetical sale;

retrieving transaction records of said investment portfolio; and

generating the performance report based on the retrieved transaction records.

26. The method according to claim 25, further comprising the step of retrieving security price data from a price database, wherein the performance report is generated based on the retrieved transaction records and the security price data including the price of the investment that was hypothetically sold.

27. The method according to claim 26, further comprising the step of transmitting the performance report to the user over the computer network.

28. The method according to claim 27, wherein the step of retrieving includes the step of accessing a transaction database that is maintaining the transaction records of the investment portfolio over the computer network.

29. The method according to claim ~~27,~~ wherein the investment portfolio comprises investments held in trading accounts at different institutions and the step of

retrieving includes the step of accessing plural transaction databases that are maintaining the transaction records of the investment portfolio over the computer network.

30. The method according to claim 29, wherein the step of accessing the transaction databases includes the step of transmitting identifying data about the trading accounts to said institutions who are managing the trading accounts and receiving permission from the institutions to access the databases.

31. A server computer connected to a plurality of client computers over a computer network, the server computer comprising:

an input management unit for receiving identification data of an investment portfolio and a request to generate a performance report of the investment portfolio from a client computer;

a bi-directional communication interface for sending the identification information to a managing institution and receiving transaction records of the investment portfolio from the managing institution;

a processing unit for generating the performance report of the investment portfolio from the transaction records; and

an output management unit for transmitting data representative of the performance report to the client computer.

32. The server computer according to claim 31, further comprising a second bi-directional communication interface for sending a request for security price data to a security price reporting service and receiving the requested security price data therefrom.

33. The server computer according to claim 32, wherein the server computer is connected over a wireless network to hand-held computers.

34. A computer network for tracking performances of a plurality of investment portfolios, comprising:

a server computer;

a plurality of client computers connected to the server computer; and

a plurality of databases each associated with a different institution, each database storing transaction records of an investment portfolio that is kept at that institution,

wherein the server computer is programmed to receive requests for performance data on an investment portfolio from one of the client computers, retrieve the transaction records for the investment portfolio responsive to the request, generate the performance data based on the transaction records, and transmit the performance data to the requesting client computer.

35. The computer network according to claim 34, further comprising a security price database connected to the server computer, wherein the server program is further programmed to retrieve security price data from the security price database and generate the performance data based on the transaction records and the security price data.

36. The computer network according to claim 34, wherein the security price database provides real-time security price data.

37. The computer network according to claim 36, wherein said server computer is programmed to access each database of said plurality of databases and to provide composite performance data based on the entire investment based on the entire investment portfolio at all of said institutions.

38. The computer network according to claim 36, wherein said performance data includes real net worth data which includes calculations taking into effect commissions and tax liability.

39. The computer network according to claim 38, wherein the client computers comprise hand-held computers.

40. A method of generating performance data including a real net worth calculation on investments held in a trading account, said method comprising the steps of:

receiving a request for the performance data including the real net worth calculation from a user over the Internet;

accessing a first database that is remotely located with respect to the requesting user, in which transaction records of said trading account are maintained;

retrieving transaction records that are necessary to generate said performance data from said first database, the transaction records including data on cash invested and security purchases and sales;

accessing a second database in which security price data are maintained;

retrieving real-time security price data that are necessary to generate said performance data from said second database;

generating said performance data based on the retrieved transaction records and the retrieved security price data; and

transmitting said performance data to the requesting user over the Internet.

41. The method according to claim 40, wherein the performance data includes balance sheet data and further comprising the step of calculating entries on an assets side of the balance sheet and a liabilities side of the balance sheet based on the transaction records.

42. The method according to claim 41, wherein the investment portfolio comprises investments held in multiple trading accounts and the step of retrieving includes the step of accessing databases that are maintaining the transaction records of the investment portfolio over the Internet.

43. The method according to claim 42, wherein the user request includes a request to generate a tax report, and further comprising the steps of:

calculating a tax liability based on the transaction records; and

generating a tax liability report based on the calculated tax liability.

44. The method according to claim 41, wherein the user request includes a hypothetical sale of at least one investment in the investment portfolio, and wherein the performance data is generated based on the retrieved transaction records and the hypothetical sale.

45. The method according to claim 41, wherein the investment portfolio comprises investments held in multiple trading accounts and the step of retrieving includes the step of accessing databases that are maintaining the transaction records of the investment portfolio over the Internet, and wherein the user request includes a request to generate a tax report and a hypothetical sale of at least one investment in the investment portfolio, and further comprising the steps of:

calculating a tax liability based on the transaction records; and

generating a tax liability report based on the calculated tax liability,

wherein the performance data is generated based on the retrieved transaction records and the hypothetical sale.

46. The method according to claim 45, wherein the multiple trading accounts are managed by different institutions.

47. The method according to claim 40, wherein the report is generated in a language other than English.

48. The method according to claim 40, further comprising the step of accessing a third database in which currency exchange rates are maintained, wherein the step of generating said performance data is also based on the retrieved currency exchange rates.

ABSTRACT OF THE DISCLOSURE

Accounting and financial analyses are performed for an investment portfolio to produce comprehensive reports on the performance and/or current real net worth of this investment portfolio. These reports are generated in response to a user request that is received over the Internet based on automatically based on security price data retrieved from a real-time security price reporting service and transaction records of the investment portfolio that are retrieved from one or more of the user's trading accounts that are kept at different financial institutions. As a result, a single financial report that is representative of the collective performance of different accounts in different financial institutions can be generated.

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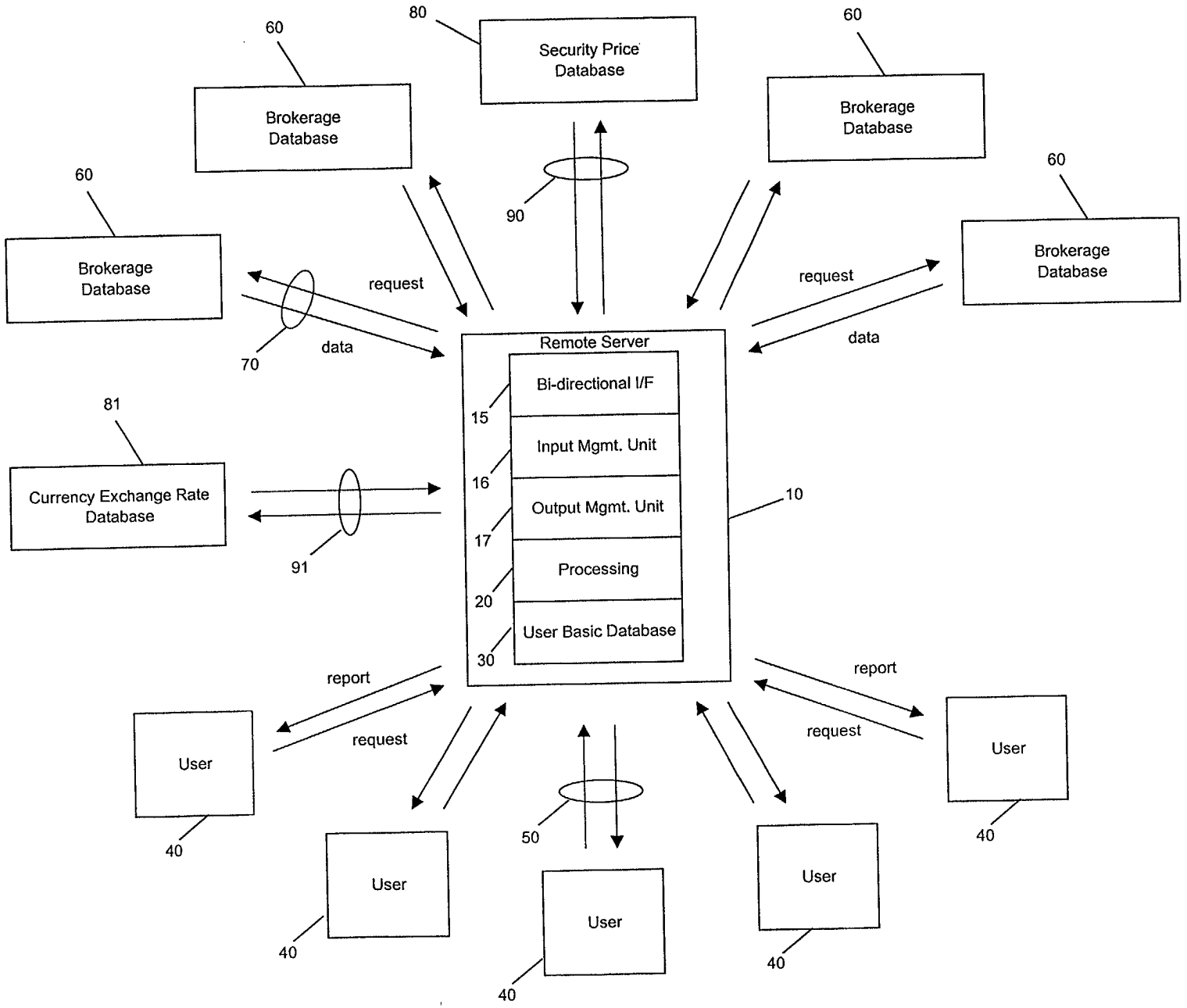


Figure 1

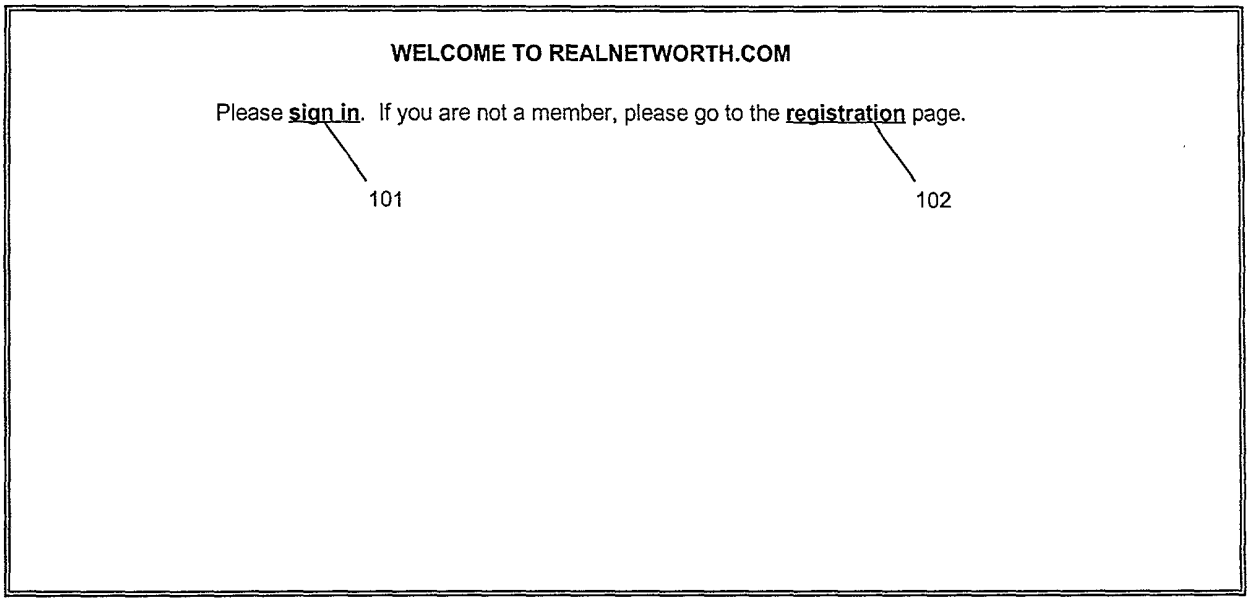


Figure 2

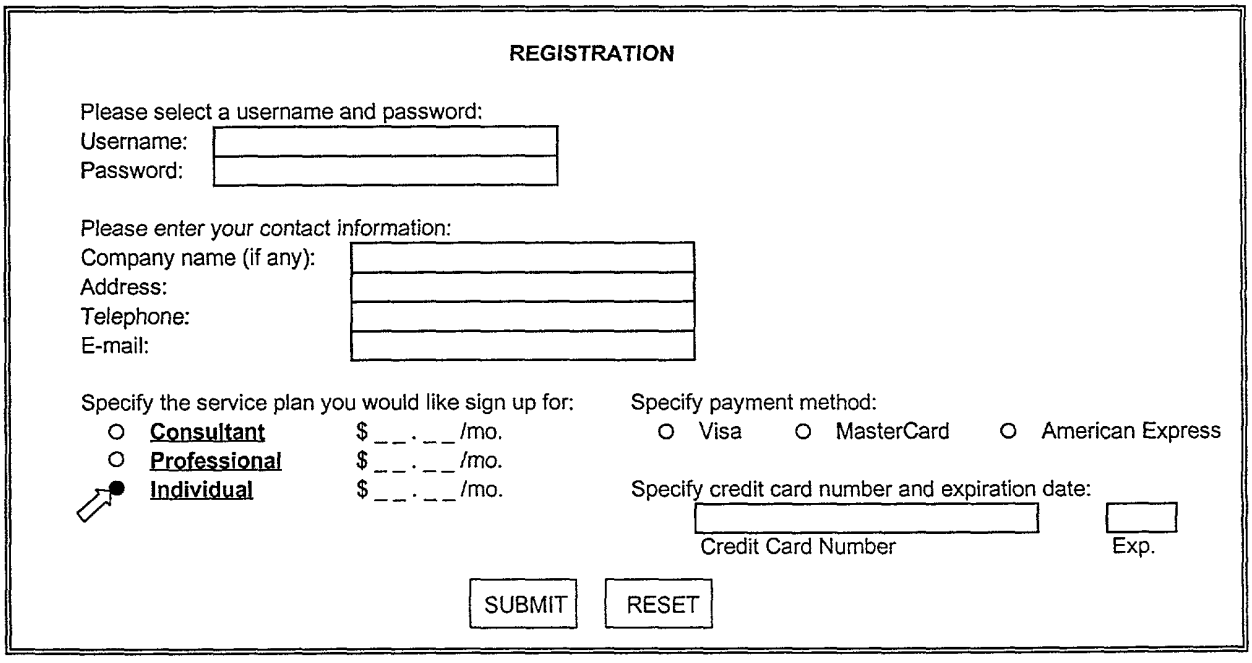


Figure 3

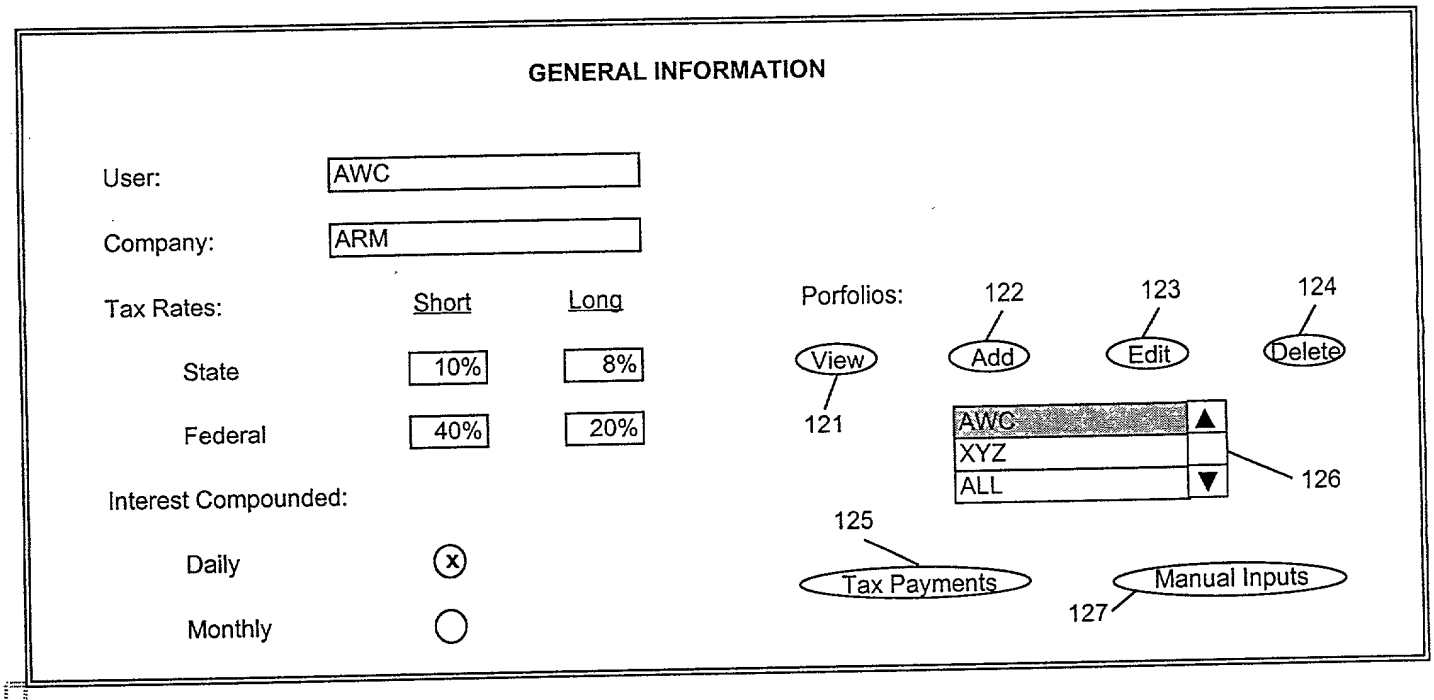


Figure 4

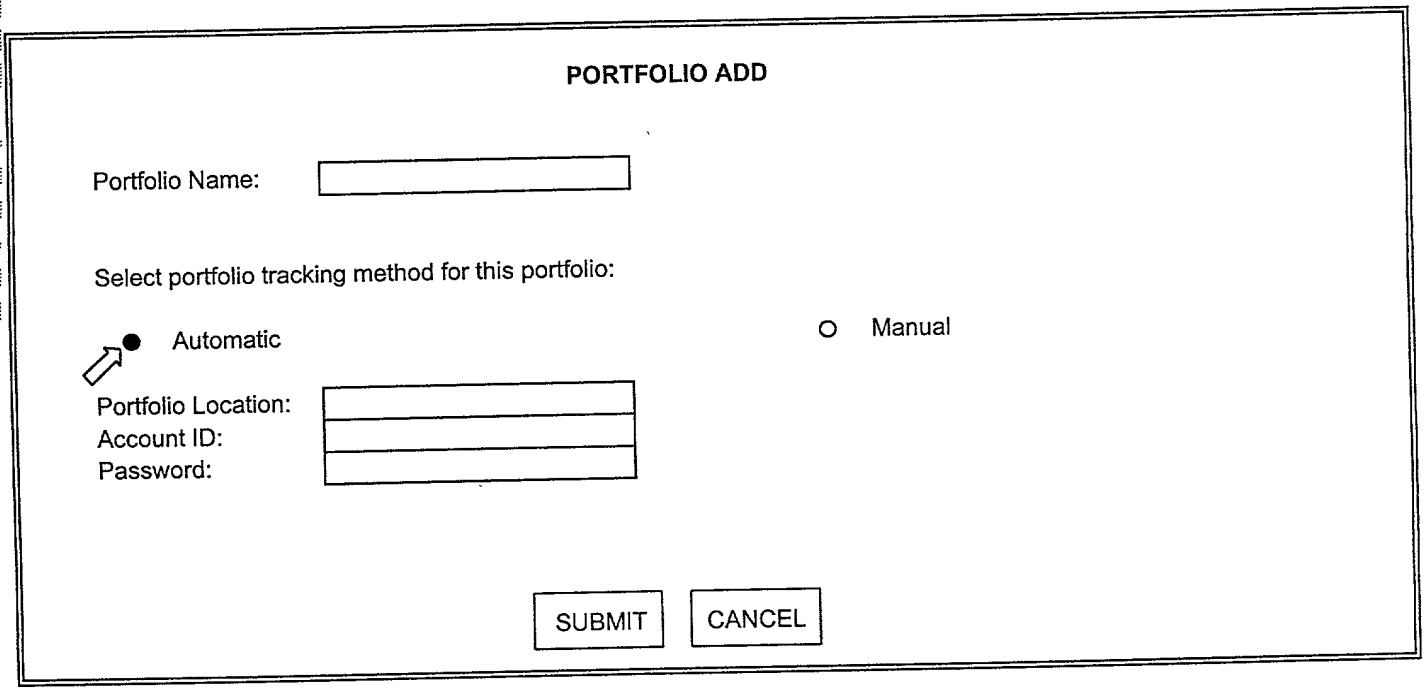


Figure 5

TAX PAYMENTS

Date	State	Federal			Balance
6/13/1999	400.00				400.00
6/15/1999		1,000.00			1,400.00
					1,400.00
					1,400.00

Figure 6

Document 1 Page 4 of 5

BOUGHT / TRANSFERRED-IN

Reference Number	28231	Symbol	HSY	Bought Date	4/07/1999
Exchange	NYSE	Type	Common	Portfolio Name	AWC

		Select One:	
Bought Price	55.688	Long Position	(X)
Shares	100.0	Short Position	()
		Bought Disbursements:	
Commissions	50.00	Cash Disbursed	2,631.25
Other Costs	12.50	Margin Proceeds	3,000.05
Settlement Amount	5,631.30	Margin Alert %	45.00%

Figure 7A

SOLD FORM

Reference Number	28231	Symbol	HSY	Sold Date	6/10/1999
Exchange	NYSE	Type	Common	Portfolio Name	AWC

		Select One:	
Sold Price	53.688	Long Position	(X)
Shares	100.0	Short Position	()
Commissions	35.00	Disbursements Receipts:	
Other Costs	16.43	Cash Disbursed	2,317.32
Disbursement Amount	5,317.37	Margin Proceeds	3,000.05

Figure 7B

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MARGIN CHANGE

Reference Number	28231	Symbol	HSY		
Exchange	NYSE	Type	Common	Portfolio Name	AWC

Date	Proceeds	Payments
4/25/1999		2,000.00
5/10/1999	1,000.00	
0/0/0		
	1,000.00	2,000.00

Figure 7C

Goldman Sachs

DIVIDENDS

Reference Number	28231	Symbol	HSY		
Exchange	NYSE	Type	Common	Portfolio Name	AWC

Date		Cash	Shares
Declared	Received		
4/25/1999	4/25/1999		5.0
5/10/1999	5/10/1999	200.00	
0/0/0	0/0/0		
		200.00	5.00

Figure 7D

STOCK SPLITS

Reference Number	28231	Symbol	HSY		
Exchange	NYSE	Type	Common	Portfolio Name	AWC

Date	Shares Released	Stock Received	Split Type	Split Ratio
5/28/1999	100.0	200.0	Normal	2 for 1
6/02/1999	200.0	100.0	Reverse	1 for 2
			-	
			-	
	300.00	300.00		

Figure 7E

Defendant's Exhibit

CASH ACTIVITY

Date	Deposits	Interest		Withdrawals	Balance
4/02/1999	5,000.00				5,000.00
5/02/1999		33.00			5,033.00
6/07/1999				(3,000.00)	2,033.00
6/10/1999					2,033.00

Figure 7F

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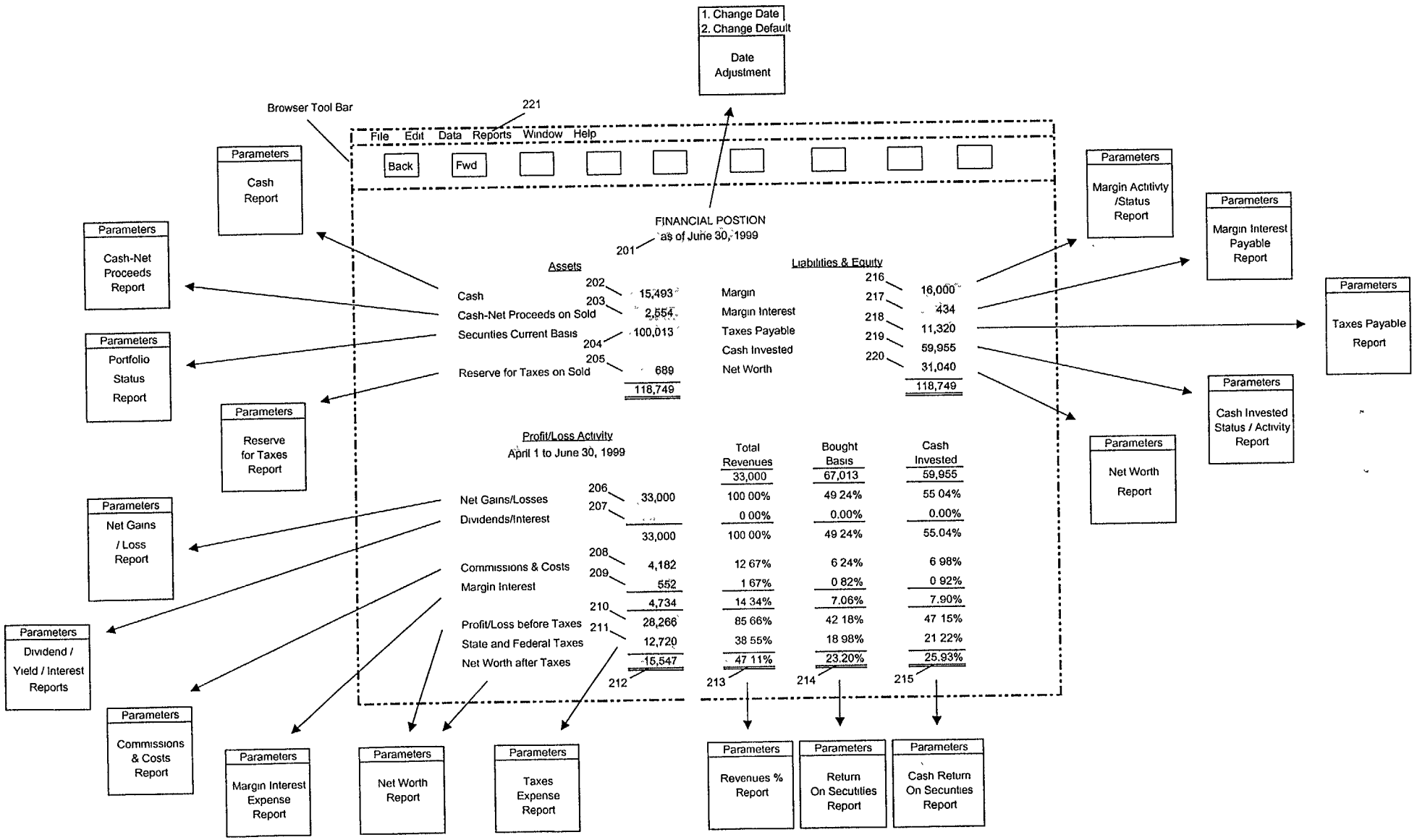

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2. Change Default
Date Adjustment
Browser Tool Bar
221
File Edit Data Reports Window Help
Back
Fwd
FINANCIAL POSTION
as of June 30, 1999
201
Assets
Liabilities & Equity
Cash 202 15,493
Cash-Net Proceeds on Sold 203 2,554
Securities Current Basis 204 100,013
Reserve for Taxes on Sold 205 689
118,749
Margin 216 16,000
Margin Interest 217 434
Taxes Payable 218 11,320
Cash Invested 219 59,955
Net Worth 220 31,040
118,749
Profit/Loss Activity
April 1 to June 30, 1999
Total Revenues
Bought Basis
Cash Invested
Net Gains/Losses 206 33,000 33,000 67,013 59,955
Dividends/Interest 207 100 00% 49 24% 55 04%
33,000 0 00% 0.00% 0.00%
100 00% 49 24% 55.04%
Commissions & Costs 208 4,182 12 67% 6 24% 6 98%
Margin Interest 209 552 1 67% 0 82% 0 92%
4,734 14 34% 7.06% 7.90%
Profit/Loss before Taxes 210 28,266 85 66% 42 18% 47 15%
State and Federal Taxes 211 12,720 38 55% 18 98% 21 22%
Net Worth after Taxes 212 15,547 47 11% 23.20% 25.93%
213 214 215
Parameters
Cash Report
Cash-Net Proceeds Report
Portfolio Status Report
Reserve for Taxes Report
Net Gains / Loss Report
Dividend / Yield / Interest Reports
Commissions & Costs Report
Margin Interest Expense Report
Net Worth Report
Taxes Expense Report
Revenues % Report
Return On Securities Report
Cash Return On Securities Report
Margin Activity /Status Report
Margin Interest Payable Report
Taxes Payable Report
Cash Invested Status / Activity Report
Net Worth Report

Figure 8

Figure 9A

BOUGHT / TRANSFERRED IN REPORT PARAMETERS

Date Range 4/01/1999 to 6/30/1999

Stock Selection:

- Long Positions ○
- Short Positions ○ Pick Stocks: ALL
- Gain Positions ○
- Loss Positions ○ Short-Term ○
- Portfolio: AWC Long-Term ○ Proceed

BOUGHT / TRANSFERRED IN REPORT
April 1, 1999 through June 30, 1999

Reference Number	Symbol	Positon	Date	Shares	Price	Amouint	Commissions & Costs Amount	Commissions & Costs %	Basis
28231	HSY	Long	4/07/1999	100	55.688	5,568.75	62.50	1.12%	5,631.25
47104	EXDS		4/23/1999	100	74.000	7,400.00	102.50	1.39%	7,502.50
-	HSY		4/20/1999	100	55.000	5,500.00	102.50	1.86%	5,602.50
88682	EXDS		4/26/1999	100	81.500	8,150.00	102.50	1.26%	8,252.50
37751	EMBU		4/22/1999	5,000	0.830	4,150.00	50.00	1.20%	4,200.00
37728	EMBU		4/22/1999	10,000	0.810	8,100.00	152.50	1.88%	8,252.50
36694	EXDS		4/27/1999	50	105.000	5,250.00	102.50	1.95%	5,352.50
69811	BEAM		4/23/1999	1,000	16.063	16,062.50	202.50	1.26%	16,265.00
47892	EBAY		4/27/1999	50	214.875	10,743.75	102.50	0.95%	10,846.25
86388	INTC		5/03/1999	500	62.875	31,437.50	102.50	0.33%	31,540.00
80027	MCK		5/13/1999	200	37.375	7,475.00	102.50	1.37%	7,577.50
83194	BEAM		5/27/1999	1,000	16.750	16,750.00	252.50	1.51%	17,002.50
26444	BEAM		6/02/1999	1,000	18.250	18,250.00	252.50	1.38%	18,502.50
27475	EMBU		6/02/1999	10,000	1.205	12,050.00	102.50	0.85%	12,152.50
92731	EBAY		6/04/1999	50	162.313	8,115.63	102.50	1.26%	8,218.13
-	UAL		6/09/1999	100	65.563	6,556.25	102.50	1.56%	6,658.75
46520	TSEMF		6/10/1999	400	7.250	2,900.00	26.66	0.92%	2,926.66
46518	TSEMF		6/10/1999	100	7.125	712.50	6.67	0.94%	719.17
46509	TSEMF		6/10/1999	1,000	7.125	7,125.00	77.58	1.09%	7,202.58
50069	ANSI		6/24/1999	1,000	8.875	8,875.00	99.00	1.12%	8,974.00
53199	BEAM		6/29/1999	1,000	20.000	20,000.00	184.00	0.92%	20,184.00
54801	PBJHA		6/29/1999	4,000	0.375	1,500.00	184.00	12.27%	1,684.00
						212,671.88	2,575.41	1.21%	215,247.29

Print Graph

Defendant's Exhibit

Figure 9B

SOLD / TRANSFERRED OUT REPORT PARAMETERS

Date Range [4/01/1999] to [6/30/1999]

Stock Selection:

- Long Positions ○
- Short Positions ○
- Gain Positions ○
- Loss Positions ○
- Portfolio [AWC ▼]

Pick Stocks [ALL ▼]

Short-Term ○

Long-Term ○

[Proceed]

SOLD / TRANSFERRED OUT REPORT
April 1, 1999 through June 30, 1999

Reference Number	Symbol	Position	Date	Shares	Price	Amouint	Commissions & Costs Amount	Commissions & Costs %	Basis
46512	HSY	Long		100	-	-	-	0.00%	-
80009	EXDS	Long		100	92.625	9,262.50	102.81	1.11%	9,365.31
46512	HSY	Long		100	65.000	6,500.00	102.81	1.58%	6,602.81
96460	EXDS	Long		100	92.000	9,200.00	134.31	1.46%	9,334.31
0	EMBU	Long		5,000	-	-	-	0.00%	-
0	EMBU	Long		10,000	-	-	-	0.00%	-
53177	EXDS	Long		50	107.563	5,378.13	134.18	2.49%	5,512.31
35765	BEAM	Long		1,000	18.375	18,375.00	153.12	0.83%	18,528.12
-	EBAY	Long		50	124.500	6,225.00	35.00	0.56%	6,260.00
53896	INTC	Long		500	61.875	30,937.50	103.54	0.33%	31,041.04
-	MCK	Long		200	32.500	6,500.00	35.00	0.54%	6,535.00
-	BEAM	Long		1,000	22.563	22,562.50	553.26	2.45%	23,115.76
90282	BEAM	Long		1,000	19.563	19,562.50	153.12	0.78%	19,715.62
0	EMBU	Long		10,000	-	-	-	0.00%	-
-	EBAY	Long		50	-	-	-	0.00%	-
0	UAL	Long		100	-	-	-	0.00%	-
49972	TSEMF	Long		400	7.438	2,975.00	10.90	0.37%	2,985.90
49972	TSEMF	Long		100	7.438	743.75	10.90	1.47%	754.65
49923	TSEMF	Long		1,000	7.438	7,437.50	77.58	1.04%	7,515.08
0	ANSI	Long		1,000	-	-	-	0.00%	-
						145,659.38	1,606.53	1.10%	147,265.91

[Print] [Graph]

Figure 9C

MARGIN ALERT REPORT PARAMETERS

Date 4/01/1999

Stock Selection:

Long Positions	○		
Short Positions	○	Pick Stocks	ALL ▼
Gain Positions	○		
Loss Positions	○	Short-Term	○
Portfolio	AWC ▼	Long-Term	○

Proceed

MARGIN ALERT REPORT
June 30, 1999

Reference Number	Symbol	Current Basis	Margin Balance	Cash Invested	Current Margin %	Margin Alert %	Difference	Margin Alert
28231	HSY	5,393.51	3,000.00	2,393.51	55.62%	45.00%	-10.62%	*
47104	EXDS	-	-	-	0.00%	45.00%	45.00%	
-	HSY	-	-	-	0.00%	45.00%	45.00%	
88682	EXDS	-	-	-	0.00%	45.00%	45.00%	
37751	EMBU	10,050.00	-	10,050.00	0.00%	45.00%	45.00%	
37728	EMBU	20,152.50	-	20,152.50	0.00%	45.00%	45.00%	
36694	EXDS	-	-	-	0.00%	45.00%	45.00%	
69811	BEAM	-	-	-	0.00%	45.00%	45.00%	
47892	EBAY	-	-	-	0.00%	45.00%	45.00%	
86388	INTC	-	-	-	0.00%	45.00%	45.00%	
80027	MCK	-	-	-	0.00%	45.00%	45.00%	
83194	BEAM	-	-	-	0.00%	45.00%	45.00%	
26444	BEAM	-	-	-	0.00%	45.00%	45.00%	
27475	EMBU	20,102.50	-	20,102.50	0.00%	45.00%	45.00%	
92731	EBAY	6,444.18	4,000.00	2,444.18	62.07%	45.00%	-17.07%	*
-	UAL	6,502.50	-	6,502.50	0.00%	45.00%	45.00%	
46520	TSEMF	-	-	-	0.00%	45.00%	45.00%	
46518	TSEMF	-	-	-	0.00%	45.00%	45.00%	
46509	TSEMF	-	-	-	0.00%	45.00%	45.00%	
50069	ANSI	11,474.00	-	11,474.00	0.00%	45.00%	45.00%	
53199	BEAM	19,702.78	9,000.00	10,702.78	45.68%	45.00%	-0.68%	*
54801	PBJHA	1,684.00	-	1,684.00	0.00%	45.00%	45.00%	
		101,505.97	16,000.00	85,505.97	15.76%	45.00%	29.24%	

Print Graph

Figure 9D

HOLDING PERIOD REPORT PARAMETERS

Date Range ####### to 6/30/1999

Stock Selection:

Long Positions	○		
Short Positions	○	Pick Stocks	ALL ▼
Gain Positions	○		
Loss Positions	○	Short-Term	○
Portfolio	AWC ▼	Long-Term	○ Proceed

HOLDING PERIOD REPORT
April 1, 1999 through June 30, 1999

Reference Number	Symbol	Position	Date Purchase	Date Sold	Shares	Price	Amouint	Period Held Months	Period Held Days
28231	HSY	Long	4/07/1999		100	55.688	5,568.75	5	19
37751	EMBU	Long	4/22/1999		5,000	0.830	4,150.00	5	4
37728	EMBU	Long	4/22/1999		10,000	0.810	8,100.00	5	4
36694	EXDS	Long	4/27/1999	6/29/1999	50	105.000	5,250.00	2	3
47892	EBAY	Long	4/27/1999	6/14/1999	50	214.875	10,743.75	1	18
80027	MCK	Long	5/13/1999	6/14/1999	200	37.375	7,475.00	1	2
83194	BEAM	Long	5/27/1999	5/27/1999	1,000	16.750	16,750.00	0	1
26444	BEAM	Long	6/02/1999	6/04/1999	1,000	18.250	18,250.00	0	2
27475	EMBU	Long	6/02/1999		10,000	1.205	12,050.00	3	23
92731	EBAY	Long	6/04/1999		50	162.313	8,115.63	3	21
-	UAL	Long	6/09/1999		100	65.563	6,556.25	3	16
46520	TSEMF	Long	6/10/1999	6/24/1999	400	7.250	2,900.00	0	14
46518	TSEMF	Long	6/10/1999	6/24/1999	100	7.125	712.50	0	14
46509	TSEMF	Long	6/10/1999	6/24/1999	1,000	7.125	7,125.00	0	14
50069	ANSI	Long	6/24/1999		1,000	8.875	8,875.00	3	1
53199	BEAM	Long	6/29/1999		1,000	20.000	20,000.00	2	26
54801	PBJHA	Long	6/29/1999		4,000	0.375	1,500.00	2	26
							144,121.88		

Print Graph

Figure 9E

DIVIDEND REPORT PARAMETERS

Date Range 4/01/1999 to 6/30/1999

Stock Selection:

- Long Positions ○
- Short Positions ○
- Gain Positions ○
- Loss Positions ○
- Portfolio AWC ▼

Pick Stocks

- Short-Term ○
- Long-Term ○

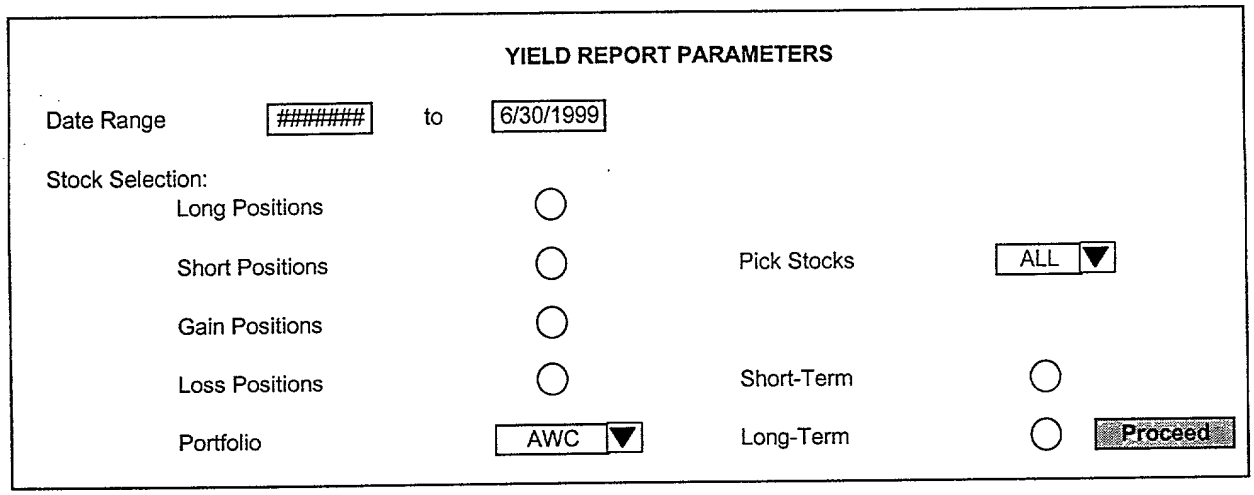
Proceed

DIVIDEND REPORT
April 1, 1999 through June 30, 1999

Reference Number	Symbol	Date Declared	Date Received	Value at Dividend Date	Cash Dividend	Dividend %	Shares Dividend	Shares Value	Dividend %
28231	HSY	4/07/1999	3/15/1999	5,000	300.000	6.00%			
37751	EMBU	4/22/1999	5/01/1999	8,000		0.00%	100.000	350.00	4.38%
37728	EMBU	4/22/1999	5/01/1999	6,000	150.000	2.50%			0.00%
36694	EXDS	4/27/1999	6/29/1999	2,000	105.000	5.25%			0.00%
47892	EBAY	4/27/1999	6/14/1999	1,000		0.00%	75.000	25.00	2.50%
80027	MCK	5/13/1999	6/14/1999	4,000		0.00%	50.000	10.00	0.25%
					555.00		225.00		

Print Graph

Figure 9F



YIELD REPORT
April 1, 1999 through April 30, 1999

Reference Number	Symbol	Declared	Date Received	Current Value	Cash Dividend	Dividend %	Shares Dividend	Shares Value	Dividend %	Combined Cash/Stock Dividend	Securities Period Held Yield
28231	HSY	36257	36234	5393.481	100	0.0185409			0	100	1.162509
37751	EMBU	36272	36281	9159.69		0	20	92.625	0.01011224	1852.5	110.729
37728	EMBU	36272	36281	6397.19	75	0.0117239			0	75	5.581595
36694	EXDS	36277	36340	9065.69	85	0.00937601			0	85	1.770126
47892	EBAY	36277	36325	10050		0	15	2	0.000199	30	0.204749
					260		35				

Print Graph

Figure 9G

COMMISSION REPORT PARAMETERS

Date Range 4/01/1999 to 6/30/1999

Stock Selection:

Long Positions ○

Short Positions ○ Pick Stocks ALL ▼

Gain Positions ○

Loss Positions ○ Short-Term ○

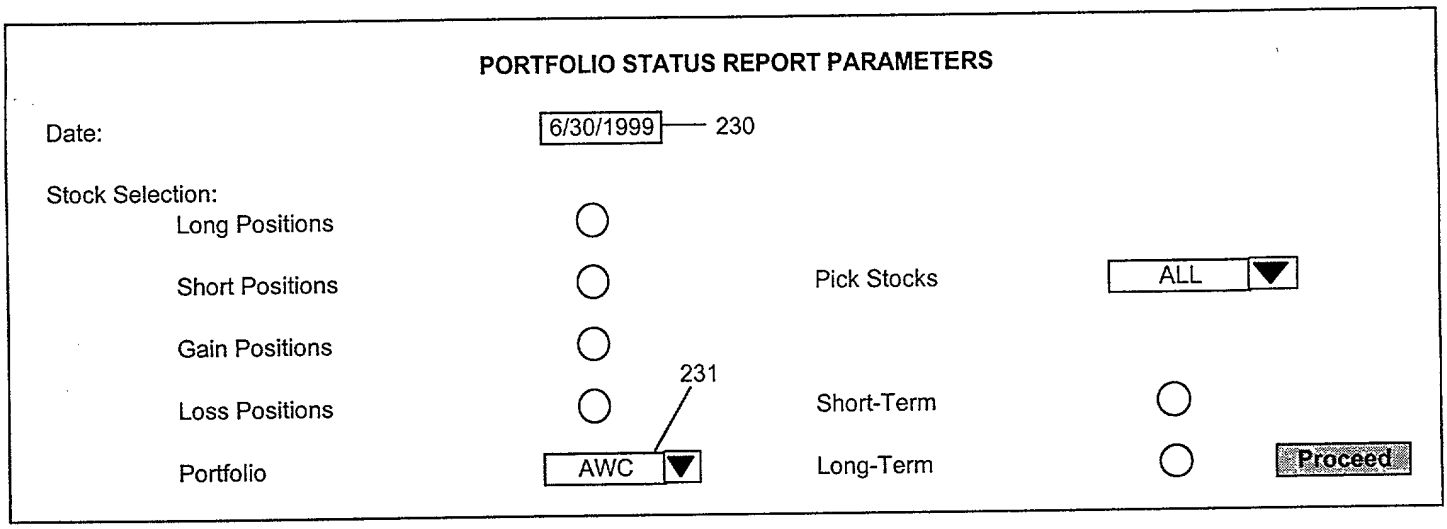
Portfolio AWC ▼ Long-Term ○ Proceed

COMMISSION PERIOD REPORT
April 1, 1999 through June 30, 1999

Reference Number	Symbol	Bought Value	Bought Commissions & Cost Amount	Bought Commissions & Cost %	Sold Value	Sold Commissions & Cost Amount	Sold Commissions & Cost %	Total Comm & Costs	Gross Sold Total Comm & Costs %	Net Gain/Loss Total Comm & Costs %
28231	HSY	5,568.75	62.50	1.12%	-	-	0.00%	62.50	0.00%	0.00%
47104	EXDS	7,400.00	102.50	1.39%	9,262.50	102.81	1.11%	205.31	2.17%	11.02%
-	HSY	5,500.00	102.50	1.86%	6,500.00	102.81	1.58%	205.31	3.06%	20.53%
88682	EXDS	8,150.00	102.50	1.26%	9,200.00	134.31	1.46%	236.81	2.51%	22.55%
37751	EMBU	4,150.00	50.00	1.20%	-	-	0.00%	50.00	0.00%	0.00%
37728	EMBU	8,100.00	152.50	1.88%	-	-	0.00%	152.50	0.00%	0.00%
36694	EXDS	5,250.00	102.50	1.95%	5,378.13	134.18	2.49%	236.68	4.22%	184.73%
69811	BEAM	16,062.50	202.50	1.26%	18,375.00	153.12	0.83%	355.62	1.90%	15.38%
47892	EBAY	10,743.75	102.50	0.95%	6,225.00	35.00	0.56%	137.50	2.16%	-3.04%
86388	INTC	31,437.50	102.50	0.33%	30,937.50	103.54	0.33%	206.04	0.66%	-41.21%
80027	MCK	7,475.00	102.50	1.37%	6,500.00	35.00	0.54%	137.50	2.07%	-14.10%
83194	BEAM	16,750.00	252.50	1.51%	22,562.50	553.26	2.45%	805.76	3.45%	13.86%
26444	BEAM	18,250.00	252.50	1.38%	19,562.50	153.12	0.78%	405.62	2.03%	30.90%
27475	EMBU	12,050.00	102.50	0.85%	-	-	0.00%	102.50	0.00%	0.00%
92731	EBAY	8,115.63	102.50	1.26%	-	-	0.00%	102.50	0.00%	0.00%
-	UAL	6,556.25	102.50	1.56%	-	-	0.00%	102.50	0.00%	0.00%
46520	TSEMF	2,900.00	26.66	0.92%	2,975.00	10.90	0.37%	37.56	1.25%	50.08%
46518	TSEMF	712.50	6.67	0.94%	743.75	10.90	1.47%	17.57	2.31%	56.22%
46509	TSEMF	7,125.00	77.58	1.09%	7,437.50	77.58	1.04%	155.16	2.04%	49.65%
50069	ANSI	8,875.00	99.00	1.12%	-	-	0.00%	99.00	0.00%	0.00%
53199	BEAM	20,000.00	184.00	0.92%	-	-	0.00%	184.00	0.00%	0.00%
54801	PBJHA	1,500.00	184.00	12.27%	-	-	0.00%	184.00	0.00%	0.00%
		212,671.88	2,575.41	1.21%	145,659.38	1,606.53	1.10%	4,181.94	2.79%	-6.24%

Print Graph

Figure 9H



PORTFOLIO STATUS REPORT
June 30, 1999

Reference Number	Symbol	Positon	Date Bought	Date Sold	Shares	Bought Basis	Current Value	Gain / Loss	% Gain / Loss
28231	HSY	Long	4/07/1999		100	5,631	5,200	(431)	-7.66%
47104	EXDS		4/23/1999	5/13/1999	100	7,503	-	-	0.00%
-	HSY		4/20/1999	5/13/1999	100	5,603	-	-	0.00%
88682	EXDS		4/26/1999	6/23/1999	100	8,253	-	-	0.00%
37751	EMBU		4/22/1999		5,000	4,200	10,000	5,800	138.10%
37728	EMBU		4/22/1999		10,000	8,253	20,000	11,748	142.35%
36694	EXDS		4/27/1999	6/29/1999	50	5,353	-	-	0.00%
69811	BEAM		4/23/1999	5/27/1999	1,000	16,265	-	-	0.00%
47892	EBAY		4/27/1999	6/14/1999	50	10,846	-	-	0.00%
86388	INTC		5/03/1999	5/05/1999	500	31,540	-	-	0.00%
80027	MCK		5/13/1999	6/14/1999	200	7,578	-	-	0.00%
83194	BEAM		5/27/1999	5/27/1999	1,000	17,003	-	-	0.00%
26444	BEAM		6/02/1999	6/04/1999	1,000	18,503	-	-	0.00%
27475	EMBU		6/02/1999		10,000	12,153	20,000	7,848	64.58%
92731	EBAY		6/04/1999		50	8,218	6,225	(1,993)	-24.25%
-	UAL		6/09/1999		100	6,659	6,400	(259)	-3.89%
46520	TSEMF		6/10/1999	6/24/1999	400	2,927	-	-	0.00%
46518	TSEMF		6/10/1999	6/24/1999	100	719	-	-	0.00%
46509	TSEMF		6/10/1999	6/24/1999	1,000	7,203	-	-	0.00%
50069	ANSI		6/24/1999		1,000	8,974	11,375	2,401	26.76%
53199	BEAM		6/29/1999		1,000	20,184	19,313	(872)	-4.32%
54801	PBJHA		6/29/1999		4,000	1,684	1,500	(184)	-10.93%
						215,247	100,013	24,057	11.18%

Figure 9I

CASH ACTIVITY / STATUS REPORT PARAMETERS

Date Range 4/01/1999 to 6/30/1999

Detail-Activity/Status ◯

Summary-Status ◯

Proceed

CASH ACTIVITY / STATUS REPORT
April 1, 1999 through June 30, 1999

Reference Number	Cash Invested Date	Net Sale Proceeds Date	Symbol	Deposits	Cash Invested	Net Sale Proceeds	Withdrawals	Tax Payments	Balance
									5,000.00
28231	4/07/1999		HSY	2,631.25	2,631.25	-			5,000.00
47104	4/23/1999	5/13/1999	EXDS	4,502.50	4,502.50	9,365.31	6,000.00		8,365.31
-	4/20/1999	5/13/1999	HSY	3,102.50	3,102.50	6,602.81	6,602.81		8,365.31
88682	4/26/1999	6/23/1999	EXDS	8,252.50	8,252.50	9,334.31	9,334.31		8,365.31
37751	4/22/1999		EMBU	4,200.00	4,200.00	-	-		8,365.31
37728	4/22/1999		EMBU	8,252.50	8,252.50	-	-		8,365.31
36694	4/27/1999	6/29/1999	EXDS	5,352.50	5,352.50	5,512.31	5,512.31		8,365.31
69811	4/23/1999	5/27/1999	BEAM	16,265.00	16,265.00	18,528.12	10,000.00		16,893.43
47892	4/27/1999	6/14/1999	EBAY	5,846.25	5,846.25	6,260.00	6,260.00		16,893.43
86388	5/03/1999	5/05/1999	INTC	31,540.00	31,540.00	31,041.04	31,041.04		16,893.43
80027	5/13/1999	6/14/1999	MCK	4,577.50	4,577.50	6,535.00	6,535.00		16,893.43
83194	5/27/1999	5/27/1999	BEAM	9,002.50	9,002.50	23,115.76	23,115.76		16,893.43
26444	6/02/1999	6/04/1999	BEAM	10,502.50	10,502.50	19,715.62	19,715.62		16,893.43
27475	6/02/1999		EMBU	12,152.50	12,152.50	-	-		16,893.43
92731	6/04/1999		EBAY	4,218.13	4,218.13	-	-		16,893.43
-	6/09/1999		UAL	6,658.75	6,658.75	-	-		16,893.43
46520	6/10/1999	6/24/1999	TSEMF	2,926.66	2,926.66	2,985.90	2,985.90		16,893.43
46518	6/10/1999	6/24/1999	TSEMF	719.17	719.17	754.65	754.65		16,893.43
46509	6/10/1999	6/24/1999	TSEMF	7,202.58	7,202.58	7,515.08	7,515.08		16,893.43
	6/13/1999							400.00	16,493.43
	6/15/1999							1,000.00	15,493.43
50069	6/24/1999		ANSI	8,974.00	8,974.00	-	-		15,493.43
				156,879.29	156,879.29	147,265.91	135,372.48	1,400.00	15,493.43

Print Graph

Figure 9J

CASH INVESTED ACTIVITY / STATUS REPORT PARAMETERS

Date Range 4/01/1999 to 6/30/1999

Detail-Activity/Status ◯

Summary-Status ◯

Proceed

CASH INVESTED ACTIVITY / STATUS REPORT
April 1, 1999 through June 30, 1999
Detail

Reference Number	Date Bought	Date Sold	Symbol	Bought	Sold	Borrowed	Repaid	Balance
28231	4/07/1999		HSY	2,631.25	-			2,631.25
47104	4/23/1999	5/13/1999	EXDS	4,502.50	4,502.50			2,631.25
-	4/20/1999	5/13/1999	HSY	3,102.50	3,102.50			2,631.25
88682	4/26/1999	6/23/1999	EXDS	8,252.50	8,252.50			2,631.25
37751	4/22/1999		EMBU	4,200.00	-			6,831.25
37728	4/22/1999		EMBU	8,252.50	-			15,083.75
36694	4/27/1999	6/29/1999	EXDS	5,352.50	5,352.50			15,083.75
69811	4/23/1999	5/27/1999	BEAM	16,265.00	16,265.00			15,083.75
47892	4/27/1999	6/14/1999	EBAY	5,846.25	5,846.25			15,083.75
86388	5/03/1999	5/05/1999	INTC	31,540.00	31,540.00			15,083.75
80027	5/13/1999	6/14/1999	MCK	4,577.50	4,577.50			15,083.75
83194	5/27/1999	5/27/1999	BEAM	9,002.50	9,002.50			15,083.75
26444	6/02/1999	6/04/1999	BEAM	10,502.50	10,502.50			15,083.75
27475	6/02/1999		EMBU	12,152.50	-			27,236.25
92731	6/04/1999		EBAY	4,218.13	-			31,454.38
-	6/09/1999		UAL	6,658.75	-			38,113.13
46520	6/10/1999	6/24/1999	TSEMF	2,926.66	2,926.66			38,113.13
46518	6/10/1999	6/24/1999	TSEMF	719.17	719.17			38,113.13
46509	6/10/1999	6/24/1999	TSEMF	7,202.58	7,202.58			38,113.13
50069	6/24/1999		ANSI	8,974.00	-			47,087.13
53199	6/29/1999		BEAM	11,184.00	-			58,271.13
54801	6/29/1999		PBJHA	1,684.00	-			59,955.13
				169,747.29	109,792.16	-	-	59,955.13

Print Graph

Figure 9K

MARGIN ACTIVITY / STATUS REPORT PARAMETERS

Date Range 4/01/1999 to 6/30/1999

Detail-Activity/Status ○

Summary-Status ○

Proceed

MARGIN ACTIVITY / STATUS REPORT
April 1, 1999 through June 30, 1999
Detail

Reference Number	Date Bought	Date Sold	Symbol	Bought	Sold	Borrowed	Repaid	Balance
28231	4/07/1999		HSY	3,000.00	-			3,000.00
47104	4/23/1999	5/13/1999	EXDS	3,000.00	3,000.00			3,000.00
-	4/20/1999	5/13/1999	HSY	2,500.00	2,500.00			3,000.00
88682	4/26/1999	6/23/1999	EXDS	-	-			3,000.00
37751	4/22/1999		EMBU	-	-			3,000.00
37728	4/22/1999		EMBU	-	-			3,000.00
36694	4/27/1999	6/29/1999	EXDS	-	-			3,000.00
69811	4/23/1999	5/27/1999	BEAM	-	-			3,000.00
47892	4/27/1999	6/14/1999	EBAY	5,000.00	5,000.00			3,000.00
86388	5/03/1999	5/05/1999	INTC	-	-			3,000.00
80027	5/13/1999	6/14/1999	MCK	3,000.00	3,000.00			3,000.00
83194	5/27/1999	5/27/1999	BEAM	8,000.00	8,000.00			3,000.00
26444	6/02/1999	6/04/1999	BEAM	8,000.00	8,000.00			3,000.00
27475	6/02/1999		EMBU	-	-			3,000.00
92731	6/04/1999		EBAY	4,000.00	-			7,000.00
-	6/09/1999		UAL	-	-			7,000.00
46520	6/10/1999	6/24/1999	TSEMF	-	-			7,000.00
46518	6/10/1999	6/24/1999	TSEMF	-	-			7,000.00
46509	6/10/1999	6/24/1999	TSEMF	-	-			7,000.00
50069	6/24/1999		ANSI	-	-			7,000.00
53199	6/29/1999		BEAM	9,000.00	-			16,000.00
54801	6/29/1999		PBJHA	-	-			16,000.00
				45,500.00	29,500.00	-	-	16,000.00

Print Graph

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Figure 9L

MARGIN INTEREST EXPENSE REPORT

Date Range 4/01/1999 to 6/30/1999

Stock Selection:

- Long Positions ○
- Short Positions ○ Pick Stocks ALL ▼
- Gain Positions ○
- Loss Positions ○ Short-Term ○
- Portfolio AWC ▼ Long-Term ○ Proceed

MARGIN INTEREST EXPENSE REPORT
April 1, 1999 through June 30, 1999

Reference Number	Date Beginning	Date Ending	Symbol	Margin	Margin Interest	Interest Paid	Payable	Total Payable
28231	4/07/1999		HSY	3,000.00	131.01	-	131.01	131.01
47104	4/23/1999	5/13/1999	EXDS	3,000.00	15.00	15.00	-	131.01
-	4/20/1999	5/13/1999	HSY	2,500.00	14.38	14.38	-	131.01
88682	4/26/1999	6/23/1999	EXDS	-	-	-	-	131.01
37751	4/22/1999		EMBU	-	-	-	-	131.01
37728	4/22/1999		EMBU	-	-	-	-	131.01
36694	4/27/1999	6/29/1999	EXDS	-	-	-	-	131.01
69811	4/23/1999	5/27/1999	BEAM	-	-	-	-	131.01
47892	4/27/1999	6/14/1999	EBAY	5,000.00	60.00	60.00	-	131.01
86388	5/03/1999	5/05/1999	INTC	-	-	-	-	131.01
80027	5/13/1999	6/14/1999	MCK	3,000.00	24.00	24.00	-	131.01
83194	5/27/1999	5/27/1999	BEAM	8,000.00	-	-	-	131.01
26444	6/02/1999	6/04/1999	BEAM	8,000.00	4.00	4.00	-	131.01
27475	6/02/1999		EMBU	-	-	-	-	131.01
92731	6/04/1999		EBAY	4,000.00	116.68	-	116.68	247.69
-	6/09/1999		UAL	-	-	-	-	247.69
46520	6/10/1999	6/24/1999	TSEMF	-	-	-	-	247.69
46518	6/10/1999	6/24/1999	TSEMF	-	-	-	-	247.69
46509	6/10/1999	6/24/1999	TSEMF	-	-	-	-	247.69
50069	6/24/1999		ANSI	-	-	-	-	247.69
53199	6/29/1999		BEAM	9,000.00	206.28	-	206.28	453.97
54801	6/29/1999		PBJHA	-	-	-	-	453.97
				45,500.00	571.35	117.38	453.97	453.97

Print Graph

Figure 9M

MARGIN INTEREST PAYABLE REPORT

Date Range 4/01/1999 to 6/30/1999

Stock Selection:

Long Positions ○

Short Positions ○ Pick Stocks ALL ▼

Gain Positions ○

Loss Positions ○ Short-Term ○

Portfolio AWC ▼ Long-Term ○ Proceed

MARGIN INTEREST PAYABLE REPORT
April 1, 1999 through June 30, 1999
Detail

Reference Number	Date Beginning	Date Ending	Symbol	Margin	Margin Interest	Interest Paid	Payable	Total Payable
28231	4/07/1999		HSY	3,000.00	131.01	-	131.01	131.01
47104	4/23/1999	5/13/1999	EXDS	3,000.00	15.00	15.00	-	131.01
-	4/20/1999	5/13/1999	HSY	2,500.00	14.38	14.38	-	131.01
88682	4/26/1999	6/23/1999	EXDS	-	-	-	-	131.01
37751	4/22/1999		EMBU	-	-	-	-	131.01
37728	4/22/1999		EMBU	-	-	-	-	131.01
36694	4/27/1999	6/29/1999	EXDS	-	-	-	-	131.01
69811	4/23/1999	5/27/1999	BEAM	-	-	-	-	131.01
47892	4/27/1999	6/14/1999	EBAY	5,000.00	60.00	60.00	-	131.01
86388	5/03/1999	5/05/1999	INTC	-	-	-	-	131.01
80027	5/13/1999	6/14/1999	MCK	3,000.00	24.00	24.00	-	131.01
83194	5/27/1999	5/27/1999	BEAM	8,000.00	-	-	-	131.01
26444	6/02/1999	6/04/1999	BEAM	8,000.00	4.00	4.00	-	131.01
27475	6/02/1999		EMBU	-	-	-	-	131.01
92731	6/04/1999		EBAY	4,000.00	116.68	-	116.68	247.69
-	6/09/1999		UAL	-	-	-	-	247.69
46520	6/10/1999	6/24/1999	TSEMF	-	-	-	-	247.69
46518	6/10/1999	6/24/1999	TSEMF	-	-	-	-	247.69
46509	6/10/1999	6/24/1999	TSEMF	-	-	-	-	247.69
50069	6/24/1999		ANSI	-	-	-	-	247.69
53199	6/29/1999		BEAM	9,000.00	206.28	-	206.28	453.97
54801	6/29/1999		PBJHA	-	-	-	-	453.97
				45,500.00	571.35	117.38	453.97	453.97

Print Graph

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Figure N-1

GAIN / LOSS REPORT PARAMETERS

Date Range 4/01/1999 to 6/30/1999

Report Format: Gross Book-ME

Stock Selection:

Long Positions ○

Short Positions ○

Gain Positions ○

Loss Positions ○

Portfolio AWC

Pick Stocks ALL

Short-Term ○

Long-Term ○

Proceed

GROSS BOOK GAIN / LOSS REPORT
MONTH END
April 1, 1999 through June 30, 1999

Reference Number	Symbol	Positon	Date Purchase	Date Sold	Months Held	Bought Value	Gross Gains / Loss Realized	Gross Gains / Loss Unrealized	Gross Gains / Loss Total	% Gain / Loss
28231	HSY	Long	4/07/1999		0.80	5,568.75	-	(168.75)	(168.75)	-3.03%
47104	EXDS	Long	4/23/1999		0.27	7,400.00	-	800.00	800.00	10.81%
-	HSY	Long	4/20/1999		0.37	5,500.00	-	(100.00)	(100.00)	-1.82%
88682	EXDS	Long	4/26/1999		0.17	8,150.00	-	50.00	50.00	0.61%
37751	EMBU	Long	4/22/1999		0.30	4,150.00	-	850.00	850.00	20.48%
37728	EMBU	Long	4/22/1999		0.30	8,100.00	-	1,900.00	1,900.00	23.46%
36694	EXDS	Long	4/27/1999		0.13	5,250.00	-	(1,150.00)	(1,150.00)	-21.90%
69811	BEAM	Long	4/23/1999		0.27	16,062.50	-	2,937.50	2,937.50	18.29%
47892	EBAY	Long	4/27/1999		0.13	10,743.75	-	(1,743.75)	(1,743.75)	-16.23%
						70,925.00	-	3,375.00	3,375.00	4.76%
86388	INTC	Long	5/03/1999	5/05/1999	0.07	31,437.50	(500.00)	-	(500.00)	-1.59%
80027	MCK	Long	5/13/1999		0.63	7,475.00	-	(875.00)	(875.00)	-11.71%
83194	BEAM	Long	5/27/1999	5/27/1999	0.03	16,750.00	3,250.00	-	3,250.00	19.40%
						55,662.500	2,750.00	(875.000)	1,875.000	3.37%
26444	BEAM	Long	6/02/1999		0.07	18,250.00	750.00	-	750.00	4.11%
27475	EMBU	Long	6/02/1999		0.97	12,050.00	-	(2,050.00)	(2,050.00)	-17.01%
92731	EBAY	Long	6/04/1999		0.90	8,115.63	-	(1,615.63)	(1,615.63)	-19.91%
-	UAL	Long	6/09/1999		0.73	6,556.25	-	43.75	43.75	0.67%
46520	TSEMF	Long	6/10/1999		0.47	2,900.00	(100.00)	-	(100.00)	-3.45%
46518	TSEMF	Long	6/10/1999		0.47	712.50	(12.50)	-	(12.50)	-1.75%
46509	TSEMF	Long	6/10/1999		0.47	7,125.00	(125.00)	-	(125.00)	-1.75%
50069	ANSI	Long	6/24/1999		0.23	8,875.00	-	1,026.00	1,026.00	11.56%
53199	BEAM	Long	6/29/1999		0.07	20,000.00	-	(1,000.00)	(1,000.00)	-5.00%
54801	PBJHA	Long	6/29/1999		0.07	1,500.00	-	-	-	0.00%
						86,084.38	512.50	(3,595.88)	(3,083.38)	-3.58%
						212,671.88	3,262.50	(1,095.88)	2,166.63	1.02%

Print Graph

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Figure 9N-2

GAIN / LOSS REPORT PARAMETERS

Date Range 4/01/1999 to 6/30/1999

Report Format: Net Book-ME

Stock Selection:

Long Positions ○

Short Positions ○

Gain Positions ○

Loss Positions ○

Portfolio AWC

Pick Stocks ALL

Short-Term ○

Long-Term ○

Proceed

NET BOOK GAIN / LOSS REPORT
MONTH END
April 1, 1999 through June 30, 1999

Reference Number	Symbol	Positon	Date Purchase	Date Sold	Months Held	Bought Value	Gross Gains / Loss Realized	Gross Gains / Loss Unrealized	Gross Gains / Loss Total	% Gain / Loss
28231	HSY	Long	4/07/1999		0.80	5,568.75	-	(362.26)	(362.26)	-6.51%
47104	EXDS	Long	4/23/1999		0.27	7,400.00	-	579.69	579.69	7.83%
-	HSY	Long	4/20/1999		0.37	5,500.00	-	(319.69)	(319.69)	-5.81%
88682	EXDS	Long	4/26/1999		0.17	8,150.00	-	(186.81)	(186.81)	-2.29%
37751	EMBU	Long	4/22/1999		0.30	4,150.00	-	800.00	800.00	19.28%
37728	EMBU	Long	4/22/1999		0.30	8,100.00	-	1,747.50	1,747.50	21.57%
36694	EXDS	Long	4/27/1999		0.13	5,250.00	-	(1,386.68)	(1,386.68)	-26.41%
69811	BEAM	Long	4/23/1999		0.27	16,062.50	-	2,581.88	2,581.88	16.07%
47892	EBAY	Long	4/27/1999		0.13	10,743.75	-	(1,941.25)	(1,941.25)	-18.07%
						70,925.00	-	1,512.38	1,512.38	2.13%
86388	INTC	Long	5/03/1999	5/05/1999	0.07	31,437.50	(706.04)	-	(706.04)	-2.25%
80027	MCK	Long	5/13/1999		0.63	7,475.00	-	(1,036.50)	(1,036.50)	-13.87%
83194	BEAM	Long	5/27/1999	5/27/1999	0.03	16,750.00	2,444.24	-	2,444.24	14.59%
						55,662.500	1,738.20	(1,036.500)	701.700	1.26%
26444	BEAM	Long	6/02/1999		0.07	18,250.00	340.38	-	340.38	1.87%
27475	EMBU	Long	6/02/1999		0.97	12,050.00	-	(2,152.50)	(2,152.50)	-17.86%
92731	EBAY	Long	6/04/1999		0.90	8,115.63	-	(1,834.81)	(1,834.81)	-22.61%
-	UAL	Long	6/09/1999		0.73	6,556.25	-	(58.75)	(58.75)	-0.90%
46520	TSEMF	Long	6/10/1999		0.47	2,900.00	(137.56)	-	(137.56)	-4.74%
46518	TSEMF	Long	6/10/1999		0.47	712.50	5.07	-	5.07	0.71%
46509	TSEMF	Long	6/10/1999		0.47	7,125.00	30.16	-	30.16	0.42%
50069	ANSI	Long	6/24/1999		0.23	8,875.00	-	1,026.00	1,026.00	11.56%
53199	BEAM	Long	6/29/1999		0.07	20,000.00	-	(1,390.28)	(1,390.28)	-6.95%
54801	PBJHA	Long	6/29/1999		0.07	1,500.00	-	(184.00)	(184.00)	-12.27%
						86,084.38	238.05	(4,594.34)	(4,356.29)	-5.06%
						212,671.88	1,976.25	(4,118.45)	(2,142.20)	-1.01%

Print Graph

Figure 9N-3

GAIN / LOSS REPORT PARAMETERS

Date Range 4/01/1999 to 6/30/1999

Report Format: Gross Book-YTD

Stock Selection:

Long Positions ○

Short Positions ○

Gain Positions ○

Loss Positions ○

Portfolio AWC

Pick Stocks ALL

Short-Term ○

Long-Term ○

Proceed

GROSS BOOK GAIN / LOSS REPORT
YEAR TO DATE
April 1, 1999 through June 30, 1999

Reference Number	Symbol	Positon	Date Purchase	Date Sold	Months Held	Bought Value	Gross Gains / Loss Realized	Gross Gains / Loss Unrealized	Gross Gains / Loss Total	% Gain / Loss
28231	HSY	Long	4/07/1999		5.82	5,568.75	-	(368.75)	(368.75)	-6.62%
47104	EXDS	Long	4/23/1999	5/13/1999	0.67	7,400.00	1,862.50	-	1,862.50	25.17%
-	HSY	Long	4/20/1999	5/13/1999	0.77	5,500.00	1,000.00	-	1,000.00	18.18%
88682	EXDS	Long	4/26/1999	6/23/1999	1.93	8,150.00	1,050.00	-	1,050.00	12.88%
37751	EMBU	Long	4/22/1999		5.32	4,150.00	-	5,850.00	5,850.00	140.96%
37728	EMBU	Long	4/22/1999		5.32	8,100.00	-	11,900.00	11,900.00	146.91%
36694	EXDS	Long	4/27/1999	6/29/1999	2.10	5,250.00	128.13	-	128.13	2.44%
69811	BEAM	Long	4/23/1999	5/27/1999	1.13	16,062.50	2,312.50	-	2,312.50	14.40%
47892	EBAY	Long	4/27/1999	6/14/1999	1.60	10,743.75	(4,518.75)	-	(4,518.75)	-42.06%
						70,925.00	1,834.38	17,381.25	19,215.63	27.09%
86388	INTC	Long	5/03/1999	5/05/1999	0.07	31,437.50	(500.00)	-	(500.00)	-1.59%
80027	MCK	Long	5/13/1999	6/14/1999	1.07	7,475.00	(975.00)	-	(975.00)	-13.04%
83194	BEAM	Long	5/27/1999	5/27/1999	0.03	16,750.00	5,812.50	-	5,812.50	34.70%
						55,662.500	4,337.50	-	4,337.500	7.79%
26444	BEAM	Long	6/02/1999	6/04/1999	0.07	18,250.00	1,312.50	-	1,312.50	7.19%
27475	EMBU	Long	6/02/1999		3.96	12,050.00	-	7,950.00	7,950.00	65.98%
92731	EBAY	Long	6/04/1999		3.89	8,115.63	-	(1,890.63)	(1,890.63)	-23.30%
-	UAL	Long	6/09/1999		3.72	6,556.25	-	(156.25)	(156.25)	-2.38%
46520	TSEMF	Long	6/10/1999	6/24/1999	0.47	2,900.00	75.00	-	75.00	2.59%
46518	TSEMF	Long	6/10/1999	6/24/1999	0.47	712.50	31.25	-	31.25	4.39%
46509	TSEMF	Long	6/10/1999	6/24/1999	0.47	7,125.00	312.50	-	312.50	4.39%
50069	ANSI	Long	6/24/1999		3.22	8,875.00	-	2,500.00	2,500.00	28.17%
53199	BEAM	Long	6/29/1999		3.06	20,000.00	-	(687.50)	(687.50)	-3.44%
54801	PBJHA	Long	6/29/1999		3.06	1,500.00	-	-	-	0.00%
						86,084.38	1,731.25	7,715.63	9,446.88	10.97%
						212,671.88	7,903.13	25,096.88	33,000.00	15.52%

Print Graph

Figure 9N-4

GAIN / LOSS REPORT PARAMETERS

Date Range 4/01/1999 to 6/30/1999

Report Format: Net Book-YTD

Stock Selection:

- Long Positions ○
- Short Positions ○
- Gain Positions ○
- Loss Positions ○
- Portfolio AWC

Pick Stocks: ALL

- Short-Term ○
- Long-Term ○

Proceed

NET BOOK GAIN / LOSS REPORT
YEAR TO DATE
April 1, 1999 through June 30, 1999

Reference Number	Symbol	Positon	Date Purchase	Date Sold	Months Held	Bought Value	Gross Gains / Loss Realized	Gross Gains / Loss Unrealized	Gross Gains / Loss Total	% Gain / Loss
28231	HSY	Long	4/07/1999	1/00/1900	5.82	5,568.75	-	(562.26)	(562.26)	-10.10%
47104	EXDS	Long	4/23/1999	5/13/1999	0.67	7,400.00	1,642.19	-	1,642.19	22.19%
-	HSY	Long	4/20/1999	5/13/1999	0.77	5,500.00	780.32	-	780.32	14.19%
88682	EXDS	Long	4/26/1999	6/23/1999	1.93	8,150.00	813.19	-	813.19	9.98%
37751	EMBU	Long	4/22/1999		5.32	4,150.00	-	5,800.00	5,800.00	139.76%
37728	EMBU	Long	4/22/1999		5.32	8,100.00	-	11,747.50	11,747.50	145.03%
36694	EXDS	Long	4/27/1999	6/29/1999	2.10	5,250.00	(108.56)	-	(108.56)	-2.07%
69811	BEAM	Long	4/23/1999	5/27/1999	1.13	16,062.50	1,956.88	-	1,956.88	12.18%
47892	EBAY	Long	4/27/1999	6/14/1999	1.60	10,743.75	(4,716.25)	-	(4,716.25)	-43.90%
						70,925.00	367.77	16,985.24	17,353.01	24.47%
86388	INTC	Long	5/03/1999	5/05/1999	0.07	31,437.50	(706.04)	-	(706.04)	-2.25%
80027	MCK	Long	5/13/1999	6/14/1999	1.07	7,475.00	(1,136.50)	-	(1,136.50)	-15.20%
83194	BEAM	Long	5/27/1999	5/27/1999	0.03	16,750.00	5,006.74	-	5,006.74	29.89%
						55,662.500	3,164.20	-	3,164.200	5.68%
26444	BEAM	Long	6/02/1999	6/04/1999	0.07	18,250.00	902.88	-	902.88	4.95%
27475	EMBU	Long	6/02/1999		3.96	12,050.00	-	7,847.50	7,847.50	65.12%
92731	EBAY	Long	6/04/1999	1/00/1900	3.89	8,115.63	-	(2,109.81)	(2,109.81)	-26.00%
-	UAL	Long	6/09/1999	1/00/1900	3.72	6,556.25	-	(258.75)	(258.75)	-3.95%
46520	TSEMF	Long	6/10/1999	6/24/1999	0.47	2,900.00	37.44	-	37.44	1.29%
46518	TSEMF	Long	6/10/1999	6/24/1999	0.47	712.50	13.68	-	13.68	1.92%
46509	TSEMF	Long	6/10/1999	6/24/1999	0.47	7,125.00	157.34	-	157.34	2.21%
50069	ANSI	Long	6/24/1999		3.22	8,875.00	-	2,401.00	2,401.00	27.05%
53199	BEAM	Long	6/29/1999		3.06	20,000.00	-	(1,077.78)	(1,077.78)	-5.39%
54801	PBJHA	Long	6/29/1999		3.06	1,500.00	-	(184.00)	(184.00)	-12.27%
						86,084.38	1,111.34	6,618.16	7,729.50	8.98%
						212,671.88	4,643.31	23,603.40	28,246.71	13.28%

Print Graph

Figure 9O-1

RETURN ON GROSS SECURITIES REPORT PARAMETERS

Date Range 4/01/1999 to 6/30/1999

Report Format: Gross Book-ME

Stock Selection:

- Long Positions ○
- Short Positions ○
- Gain Positions ○
- Loss Positions ○
- Portfolio AWC

Pick Stocks: ALL

Short-Term Positions ○

Long-Term Positions ○

Proceed

RETURN ON GROSS SECURITIES REPORT
MONTH END
April 1, 1999 through June 30, 1999

Reference Number	Symbol	Positon	Date Purchase	Date Sold	Months Held	Gross Gain / Loss	Return on Investment: Percentage Increase	Return on Investment: Monthly Return	Return on Investment: Annualized Return
28231	HSY	Long	4/07/1999		0.80	(168.75)	-3.13%	-3.91%	-46.88%
47104	EXDS	Long	4/23/1999		0.27	800.00	9.76%	36.59%	439.02%
-	HSY	Long	4/20/1999		0.37	(100.00)	-1.85%	-5.05%	-60.61%
88682	EXDS	Long	4/26/1999		0.17	50.00	0.61%	3.66%	43.90%
37751	EMBU	Long	4/22/1999		0.30	850.00	17.00%	56.67%	680.00%
37728	EMBU	Long	4/22/1999		0.30	1,900.00	19.00%	63.33%	760.00%
36694	EXDS	Long	4/27/1999		0.13	(1,150.00)	-28.05%	-210.37%	-2524.39%
69811	BEAM	Long	4/23/1999		0.27	2,937.50	15.46%	57.98%	695.72%
47892	EBAY	Long	4/27/1999		0.13	(1,743.75)	-19.38%	-145.31%	-1743.75%
						3,375.00	4.54%	15.98%	191.72%
86388	INTC	Long	5/03/1999	5/05/1999	0.07	(500.00)	-1.62%	-24.24%	-290.91%
80027	MCK	Long	5/13/1999		0.63	(875.00)	-13.26%	-20.93%	-251.20%
83194	BEAM	Long	5/27/1999	5/27/1999	0.03	3,250.00	16.25%	487.50%	5850.00%
						1,875.000	3.26%	27.18%	326.13%
26444	BEAM	Long	6/02/1999		0.07	750.00	3.95%	59.21%	710.53%
27475	EMBU	Long	6/02/1999		0.97	(2,050.00)	-20.50%	-21.21%	-254.48%
92731	EBAY	Long	6/04/1999		0.90	(1,615.63)	-24.86%	-27.62%	-331.41%
-	UAL	Long	6/09/1999		0.73	43.75	0.66%	0.90%	10.85%
46520	TSEMF	Long	6/10/1999		0.47	(100.00)	-3.57%	-7.65%	-91.84%
46518	TSEMF	Long	6/10/1999		0.47	(12.50)	-1.79%	-3.83%	-45.92%
46509	TSEMF	Long	6/10/1999		0.47	(125.00)	-1.79%	-3.83%	-45.92%
50069	ANSI	Long	6/24/1999		0.23	1,026.00	10.26%	43.97%	527.66%
53199	BEAM	Long	6/29/1999		0.07	(1,000.00)	-5.26%	-78.95%	-947.37%
54801	PBJHA	Long	6/29/1999		0.07	-	0.00%	0.00%	0.00%
						(3,083.38)	-3.71%	-10.67%	-128.09%

Print Graph

Copyright

Figure 9O-2

GROSS RETURN ON SECURITIES REPORT PARAMETERS

Date Range 4/01/1999 to 6/30/1999

Report Format: Gross Book-YTD

Stock Selection:

Long Positions ○

Short Positions ○

Gain Positions ○

Loss Positions ○

Portfolio AWC

Pick Stocks ALL

Short-Term Positions ○

Long-Term Positions ○

Proceed

GROSS RETURN ON SECURITIES REPORT
YEAR TO DATE
April 1, 1999 through June 30, 1999

Reference Number	Symbol	Positon	Date Purchase	Date Sold	Months Held	Gross Gain / Loss	Return on Investment: Percentage Increase	Return on Investment: Monthly Return	Return on Investment: Annualized Return
28231	HSY	Long	4/07/1999		5.82	(368.75)	-6.62%	-1.14%	-13.65%
47104	EXDS	Long	4/23/1999	5/13/1999	0.67	1,862.50	25.17%	37.75%	453.04%
-	HSY	Long	4/20/1999	5/13/1999	0.77	1,000.00	18.18%	23.72%	284.58%
88682	EXDS	Long	4/26/1999	6/23/1999	1.93	1,050.00	12.88%	6.66%	79.97%
37751	EMBU	Long	4/22/1999		5.32	5,850.00	140.96%	26.48%	317.80%
37728	EMBU	Long	4/22/1999		5.32	11,900.00	146.91%	27.60%	331.22%
36694	EXDS	Long	4/27/1999	6/29/1999	2.10	128.13	2.44%	1.16%	13.95%
69811	BEAM	Long	4/23/1999	5/27/1999	1.13	2,312.50	14.40%	12.70%	152.44%
47892	EBAY	Long	4/27/1999	6/14/1999	1.60	(4,518.75)	-42.06%	-26.29%	-315.45%
						19,215.63	27.09%	11.37%	136.48%
86388	INTC	Long	5/03/1999	5/05/1999	0.07	(500.00)	-1.59%	-23.86%	-286.28%
80027	MCK	Long	5/13/1999	6/14/1999	1.07	(975.00)	-13.04%	-12.23%	-146.74%
83194	BEAM	Long	5/27/1999	5/27/1999	0.03	5,812.50	34.70%	1041.04%	12492.54%
						4,337.50	18.61%	13.12%	157.39%
26444	BEAM	Long	6/02/1999	6/04/1999	0.07	1,312.50	7.19%	107.88%	1294.52%
27475	EMBU	Long	6/02/1999		3.96	7,950.00	65.98%	16.68%	200.13%
92731	EBAY	Long	6/04/1999		3.89	(1,890.63)	-23.30%	-5.99%	-71.88%
-	UAL	Long	6/09/1999		3.72	(156.25)	-2.38%	-0.64%	-7.68%
46520	TSEMF	Long	6/10/1999	6/24/1999	0.47	75.00	2.59%	5.54%	66.50%
46518	TSEMF	Long	6/10/1999	6/24/1999	0.47	31.25	4.39%	9.40%	112.78%
46509	TSEMF	Long	6/10/1999	6/24/1999	0.47	312.50	4.39%	9.40%	112.78%
50069	ANSI	Long	6/24/1999		3.22	2,500.00	28.17%	8.74%	104.89%
53199	BEAM	Long	6/29/1999		3.06	(687.50)	-3.44%	-1.12%	-13.50%
54801	PBJHA	Long	6/29/1999		3.06	-	0.00%	0.00%	0.00%
						9,446.88	15.52%	8.71%	104.53%

Print Graph

Figure 9P-1

NET CASH RETURN ON SECURITIES REPORT PARAMETERS

Date Range 4/01/1999 to 6/30/1999

Report Format: Net Cash-ME

Stock Selection:

Long Positions ○

Short Positions ○

Gain Positions ○

Loss Positions ○

Portfolio AWC

Pick Stocks ALL

Short-Term Positions ○

Long-Term Positions ○

Proceed

NET CASH RETURN ON SECURITIES REPORT
MONTH END
April 1, 1999 through June 30, 1999

Reference Number	Symbol	Positon	Date Purchase	Date Sold	Months Held	Gross Gain / Loss	Return on Investment: Percentage Increase	Return on Investment: Monthly Return	Return on Investment: Annualized Return
28231	HSY	Long	4/07/1999		0.80	(562.26)	-17.21%	-21.51%	-258.14%
47104	EXDS	Long	4/23/1999		0.27	1,642.19	48.28%	181.05%	2172.63%
-	HSY	Long	4/20/1999		0.37	780.32	-28.10%	-76.64%	-919.71%
88682	EXDS	Long	4/26/1999		0.17	813.19	-13.58%	-81.49%	-977.91%
37751	EMBU	Long	4/22/1999		0.30	5,800.00	63.49%	211.64%	2539.68%
37728	EMBU	Long	4/22/1999		0.30	11,747.50	70.58%	235.28%	2823.39%
36694	EXDS	Long	4/27/1999		0.13	(108.56)	-194.30%	-1457.28%	-17487.32%
69811	BEAM	Long	4/23/1999		0.27	1,956.88	59.53%	223.23%	2678.71%
47892	EBAY	Long	4/27/1999		0.13	(4,716.25)	-249.04%	-1867.78%	-22413.41%
						17,353.01	9.83%	34.58%	414.90%
86388	INTC	Long	5/03/1999	5/05/1999	0.07	(706.04)	-69.40%	-1040.93%	-12491.13%
80027	MCK	Long	5/13/1999		0.63	(1,136.50)	-36.94%	-58.33%	-700.00%
83194	BEAM	Long	5/27/1999	5/27/1999	0.03	5,006.74	841.67%	25250.13%	303001.59%
						3,164.20	17.06%	142.27%	1707.24%
26444	BEAM	Long	6/02/1999	6/04/1999	0.07	902.88	97.23%	1458.42%	17501.09%
27475	EMBU	Long	6/02/1999		0.97	7,847.50	-18.32%	-18.96%	-227.46%
92731	EBAY	Long	6/04/1999		0.90	(2,109.81)	-48.33%	-53.70%	-644.42%
-	UAL	Long	6/09/1999		0.73	(258.75)	-1.20%	-1.64%	-19.69%
46520	TSEMF	Long	6/10/1999	6/24/1999	0.47	37.44	-141.01%	-302.16%	-3625.90%
46518	TSEMF	Long	6/10/1999	6/24/1999	0.47	13.68	21.15%	45.32%	543.84%
46509	TSEMF	Long	6/10/1999	6/24/1999	0.47	157.34	12.56%	26.92%	323.03%
50069	ANSI	Long	6/24/1999		0.23	2,401.00	49.00%	209.99%	2519.93%
53199	BEAM	Long	6/29/1999		0.07	(1,077.78)	-186.46%	-2796.97%	-33563.67%
54801	PBJHA	Long	6/29/1999		0.07	(184.00)	-163.90%	-2458.43%	-29501.19%
						7,729.50	-18.08%	-52.02%	-624.27%

Print Graph

Figure 9P-2

NET CASH RETURN ON SECURITIES REPORT PARAMETERS

Date Range 4/01/1999 to 6/30/1999

Report Format: Net Cash-YTD

Stock Selection:

Long Positions ○

Short Positions ○

Gain Positions ○

Loss Positions ○

Portfolio AWC

Pick Stocks ALL

Short-Term Positions ○

Long-Term Positions ○

Proceed

NET CASH RETURN ON SECURITIES REPORT
YEAR TO DATE
April 1, 1999 through June 30, 1999

Reference Number	Symbol	Positon	Date Purchase	Date Sold	Months Held	Gross Gain / Loss	Return on Investment: Percentage Increase	Return on Investment: Monthly Return	Return on Investment: Annualized Return
28231	HSY	Long	4/07/1999		5.82	(562.26)	-26.71%	-4.59%	-55.05%
47104	EXDS	Long	4/23/1999	5/13/1999	0.67	1,642.19	136.77%	205.16%	2461.92%
-	HSY	Long	4/20/1999	5/13/1999	0.77	780.32	68.59%	89.47%	1073.65%
88682	EXDS	Long	4/26/1999	6/23/1999	1.93	813.19	59.12%	30.58%	366.97%
37751	EMBU	Long	4/22/1999		5.32	5,800.00	460.32%	86.48%	1037.78%
37728	EMBU	Long	4/22/1999		5.32	11,747.50	474.50%	89.15%	1069.77%
36694	EXDS	Long	4/27/1999	6/29/1999	2.10	(108.56)	-15.21%	-7.24%	-86.92%
69811	BEAM	Long	4/23/1999	5/27/1999	1.13	1,956.88	45.12%	39.81%	477.71%
47892	EBAY	Long	4/27/1999	6/14/1999	1.60	(4,716.25)	-605.04%	-378.15%	-4537.76%
						17,353.01	112.79%	47.35%	568.19%
86388	INTC	Long	5/03/1999	5/05/1999	0.07	(706.04)	-69.40%	-1040.93%	-12491.13%
80027	MCK	Long	5/13/1999	6/14/1999	1.07	(1,136.50)	-40.51%	-37.98%	-455.72%
83194	BEAM	Long	5/27/1999	5/27/1999	0.03	5,006.74	1724.06%	51721.95%	620663.35%
						3,164.20	33.06%	23.30%	279.61%
26444	BEAM	Long	6/02/1999	6/04/1999	0.07	902.88	257.90%	3868.56%	46422.78%
27475	EMBU	Long	6/02/1999		3.96	7,847.50	66.80%	16.89%	202.63%
92731	EBAY	Long	6/04/1999		3.89	(2,109.81)	-55.58%	-14.29%	-171.47%
-	UAL	Long	6/09/1999		3.72	(258.75)	-5.30%	-1.42%	-17.08%
46520	TSEMF	Long	6/10/1999	6/24/1999	0.47	37.44	38.38%	82.24%	986.87%
46518	TSEMF	Long	6/10/1999	6/24/1999	0.47	13.68	57.07%	122.28%	1467.41%
46509	TSEMF	Long	6/10/1999	6/24/1999	0.47	157.34	65.53%	140.43%	1685.18%
50069	ANSI	Long	6/24/1999		3.22	2,401.00	114.66%	35.58%	426.96%
53199	BEAM	Long	6/29/1999		3.06	(1,077.78)	-144.55%	-47.30%	-567.61%
54801	PBJHA	Long	6/29/1999		3.06	(184.00)	-163.90%	-53.63%	-643.56%
						7,729.50	28.14%	15.80%	189.56%

Print Graph

Document 1 of 1

Figure 9Q

IRS SCHEDULE D (FORM 1040) PARAMETERS

Date Range 4/01/1999 to 6/30/1999

Pick Stocks HSY

Short-Term Positions (X)

Long-Term Positions ()

Portfolio: AWC

Proceed

IRS SCHEDULE D (FORM 1040)-SHORT TERM
April 1, 1999 through June 30, 1999

Symbol	Shares	Date Acquired	Date Sold	Sales Price	Cost or Other Basis	Gain or Loss
EMBU	100	4/22/1999	5/13/1999	9,262.50	7,620.31	1,642.19
EMBU	100	4/22/1999	5/13/1999	6,500.00	5,719.69	780.32
EXDS	100	4/27/1999	6/23/1999	9,200.00	8,386.81	813.19
				24,962.50	21,726.81	3,235.70

Print Graph

Document 5 Page 30

Figure 9R

TAX EXPENSE REPORT PARAMETERS

Date Range 4/01/1999 to 6/30/1999

Stock Selection:

Long Positions ○

Short Positions ○

Gain Positions ○

Loss Positions ○

Portfolio AWC ▼

Pick Stocks ALL ▼

Short-Term ○

Long-Term ○

Proceed

TAX EXPENSE REPORT
YEAR TO DATE
April 1, 1999 through June 30, 1999

Reference Number	Symbol	Short-Term Gains/Losses Realized	Short-Term Gains/Losses Unrealized	State Taxes Realized	State Taxes Unrealized	Federal Taxes Realized	Federal Taxes Unrealized	Long-Term Gains/Losses Realized	Long-Term Gains/Losses Unrealized	State Taxes Realized	State Taxes Unrealized	Federal Taxes Realized	Federal Taxes Unrealized	Total Tax Expense
				10.00%	10.00%	40.00%	40.00%			8.00%	8.00%	20.00%	20.00%	
28231	HSY	-	(562.26)	-	(56.23)	-	(196.79)	-	-	-	-	-	-	(253.02)
47104	EXDS	1,642.19	-	164.22	-	574.77	-	-	-	-	-	-	-	738.99
-	HSY	780.32	-	78.03	-	273.11	-	-	-	-	-	-	-	351.14
88682	EXDS	813.19	-	81.32	-	284 62	-	-	-	-	-	-	-	365.94
37751	EMBU	-	5,800.00	-	580.00	-	2,030.00	-	-	-	-	-	-	2,610 00
37728	EMBU	-	11,747.50	-	1,174.75	-	4,111.63	-	-	-	-	-	-	5,286.38
36694	EXDS	(108.56)	-	(10.86)	-	(37.99)	-	-	-	-	-	-	-	(48.85)
69811	BEAM	1,956.88	-	195.69	-	684.91	-	-	-	-	-	-	-	880.60
47892	EBAY	(4,716.25)	-	(471.63)	-	(1,650.69)	-	-	-	-	-	-	-	(2,122.31)
		367.77	16,985.24	36.78	1,698.52	128.72	5,944.83	-	-	-	-	-	-	7,808.85
86388	INTC	(706.04)	-	(70.60)	-	(247.11)	-	-	-	-	-	-	-	(317.72)
80027	MCK	(1,136.50)	-	(113.65)	-	(397.78)	-	-	-	-	-	-	-	(511 43)
83194	BEAM	5,006.74	-	500.67	-	1,752.36	-	-	-	-	-	-	-	2,253.03
		3,164.20	-	316.42	-	1,107.47	-	-	-	-	-	-	-	1,423.89
26444	BEAM	902.88	-	90 29	-	316.01	-	-	-	-	-	-	-	406.30
27475	EMBU	-	7,847.50	-	784.75	-	2,746.63	-	-	-	-	-	-	3,531.38
92731	EBAY	-	(2,109.81)	-	(210.98)	-	(738.43)	-	-	-	-	-	-	(949.41)
-	UAL	-	(258.75)	-	(25.88)	-	(90.56)	-	-	-	-	-	-	(116 44)
46520	TSEMF	37.44	-	3.74	-	13.10	-	-	-	-	-	-	-	16.85
46518	TSEMF	13.68	-	1.37	-	4.79	-	-	-	-	-	-	-	6.16
46509	TSEMF	157.34	-	15.73	-	55.07	-	-	-	-	-	-	-	70.80
50069	ANSI	-	2,401.00	-	240.10	-	840.35	-	-	-	-	-	-	1,080.45
53199	BEAM	-	(1,077.78)	-	(107.78)	-	(377.22)	-	-	-	-	-	-	(485.00)
54801	PBJHA	-	(184.00)	-	(18.40)	-	(64.40)	-	-	-	-	-	-	(82.80)
		1,111.34	6,618.16	111.13	661.82	388.97	2,316.36	-	-	-	-	-	-	3,478.28
		4,643.31	23,603.40	464.33	2,360.34	1,625.16	8,261.19	-	-	-	-	-	-	12,711.02

Print Graph

Figure 9S

TAXES PAYABLES REPORT PARAMETERS

Date Range 4/01/1999 to 6/30/1999

Stock Selection:

- Long Positions ○
- Short Positions ○
- Gain Positions ○
- Loss Positions ○
- Portfolio AWC ▼

Pick Stocks ALL ▼

Short-Term ○

Long-Term ○

Proceed

TAXES PAYABLE REPORT
YEAR TO DATE
April 1, 1999 through June 30, 1999

Reference Number	Symbol	Short-Term Gains/Losses Realized	Short-Term Gains/Losses Unrealized	State Taxes Realized	State Taxes Unrealized	Federal Taxes Realized	Federal Taxes Unrealized	Long-Term Gains/Losses Realized	Long-Term Gains/Losses Unrealized	State Taxes Realized	State Taxes Unrealized	Federal Taxes Realized	Federal Taxes Unrealized	Gross Taxs Payble	Taxes Paid Date	Taxes Paid Amount	Net Taxs Payble
				10 00%	10 00%	40.00%	40 00%			8 00%	8 00%	20 00%	20 00%				
28231	HSY	-	(562 26)	-	(56 23)	-	(196 79)	-	-	-	-	-	-	(253 02)	6/13/1999	400 00	(653 02)
47104	EXDS	1,642 19	-	164 22	-	574 77	-	-	-	-	-	-	-	738.99	6/15/1999	1,000.00	(261 01)
-	HSY	780.32	-	78 03	-	273.11	-	-	-	-	-	-	-	351.14			351 14
88682	EXDS	813.19	-	81 32	-	284 62	-	-	-	-	-	-	-	365 94			365.94
37751	EMBU	-	5,800 00	-	580 00	-	2,030 00	-	-	-	-	-	-	2,610 00			2,610 00
37728	EMBU	-	11,747.50	-	1,174 75	-	4,111 63	-	-	-	-	-	-	5,286.38			5,286.38
36694	EXDS	(108 56)	-	(10.86)	-	(37 99)	-	-	-	-	-	-	-	(48.85)			(48.85)
89811	BEAM	1,956 88	-	195.69	-	684.91	-	-	-	-	-	-	-	880 60			880 60
47892	EBAY	(4,716 25)	-	(471 63)	-	(1,650 69)	-	-	-	-	-	-	-	(2,122 31)			(2,122.31)
		367.77	16,985 24	36 78	1,698 52	128 72	5,944.83	-	-	-	-	-	-	7,808.85		1,400 00	6,408 85
86388	INTC	(706 04)	-	(70.60)	-	(247.11)	-	-	-	-	-	-	-	(317 72)			(317 72)
80027	MCK	(1,136 50)	-	(113.65)	-	(397.78)	-	-	-	-	-	-	-	(511 43)			(511 43)
83194	BEAM	5,006.74	-	500 67	-	1,752.36	-	-	-	-	-	-	-	2,253 03			2,253.03
		3,164 20	-	316 42	-	1,107.47	-	-	-	-	-	-	-	1,423 89		-	1,423 89
26444	BEAM	902 88	-	90 29	-	316.01	-	-	-	-	-	-	-	406.30			406 30
27475	EMBU	-	7,847.50	-	784 75	-	2,746.63	-	-	-	-	-	-	3,531.38			3,531.38
92731	EBAY	-	(2,109.81)	-	(210.98)	-	(738.43)	-	-	-	-	-	-	(949.41)			(949 41)
-	UAL	-	(258 75)	-	(25 88)	-	(90 56)	-	-	-	-	-	-	(116 44)			(116 44)
46520	TSEMF	37 44	-	3.74	-	13 10	-	-	-	-	-	-	-	16 85			16 85
46518	TSEMF	13 68	-	1 37	-	4.79	-	-	-	-	-	-	-	6 16			6 16
46509	TSEMF	157 34	-	15 73	-	55.07	-	-	-	-	-	-	-	70.80			70 80
50069	ANSI	-	2,401.00	-	240 10	-	840 35	-	-	-	-	-	-	1,080 45			1,080.45
53199	BEAM	-	(1,077.78)	-	(107.78)	-	(377.22)	-	-	-	-	-	-	(485 00)			(485.00)
54801	PBJHA	-	(184 00)	-	(18 40)	-	(64 40)	-	-	-	-	-	-	(82.80)			(82.80)
		1,111 34	6,618.16	111 13	661 82	388 97	2,316 36	-	-	-	-	-	-	3,478.28		-	3,478 28
Gross Taxes Payable				464.33	2,360 34	1,625 16	8,261.19			-	-	-	-	12,711 02		1,400.00	11,311 02
Taxes Paid																	
Net Taxes Payble				464 33	2,360.34	1,625 16	8,261 19			-	-	-	-				

Print Graph

Figure 9T

CASH NET PROCEEDS REPORT PARAMETERS

Date Range 4/01/1999 to 6/30/1999

Report Format: Net Cash-YTD

Stock Selection:

Long Positions ○

Short Positions ○

Pick Stocks ALL

Gain Positions ○

Loss Positions ○ Short-Term Positions ○

Portfolio AWC Long-Term Positions ○ Proceed

CASH NET PROCEEDS REPORT
YEAR TO DATE
April 1, 1999 through June 30, 1999

Reference Number	Symbol	Positon	Date Sold	Net Gain/Loss	Unrealized Gains/Losses	Realized Gains/Losses	Commissions and Costs	Margin Interest	Net Proceeds b/f Taxes	Reserve for Taxes	Net Proceeds after Taxes
									-		
28231	HSY	Long		(368.75)	(368.75)	-	62.50	131.01	-	-	-
47104	EXDS	Long	5/13/1999	1,862.50	-	1,862.50	205.31	15.00	1,642.19	738.99	903.20
-	HSY	Long	5/13/1999	1,000.00	-	1,000.00	205.31	14.38	780.32	351.14	429.17
88682	EXDS	Long	6/23/1999	1,050.00	-	1,050.00	236.81	-	813.19	365.94	447.25
37751	EMBU	Long		5,850.00	5,850.00	-	50.00	-	-	-	-
37728	EMBU	Long		11,900.00	11,900.00	-	152.50	-	-	-	-
36694	EXDS	Long	6/29/1999	128.13	-	128.13	236.68	-	(108.56)	(48.85)	(59.71)
69811	BEAM	Long	5/27/1999	2,312.50	-	2,312.50	355.62	-	1,956.88	880.60	1,076.28
47892	EBAY	Long	6/14/1999	(4,518.75)	-	(4,518.75)	137.50	60.00	(4,716.25)	(2,122.31)	(2,593.94)
				19,215.63	17,381.25	1,834.38	1,642.23	220.39	367.77	165.50	202.27
86388	INTC	Long	5/05/1999	(500.00)	-	(500.00)	206.04	-	(706.04)	(317.72)	(388.32)
80027	MCK	Long	6/14/1999	(975.00)	-	(975.00)	137.50	24.00	(1,136.50)	(511.43)	(625.08)
83194	BEAM	Long	5/27/1999	5,812.50	-	5,812.50	805.76	-	5,006.74	2,253.03	2,753.71
				4,337.50	-	4,337.50	1,149.30	24.00	3,164.20	1,423.89	1,740.31
26444	BEAM	Long	6/04/1999	1,312.50	-	1,312.50	405.62	4.00	902.88	406.30	496.58
27475	EMBU	Long		7,950.00	7,950.00	-	102.50	-	-	-	-
92731	EBAY	Long		(1,890.63)	(1,890.63)	-	102.50	116.68	-	-	-
-	UAL	Long		(156.25)	(156.25)	-	102.50	-	-	-	-
46520	TSEMF	Long	6/24/1999	75.00	-	75.00	37.56	-	37.44	16.85	20.59
46518	TSEMF	Long	6/24/1999	31.25	-	31.25	17.57	-	13.68	6.16	7.52
46509	TSEMF	Long	6/24/1999	312.50	-	312.50	155.16	-	157.34	70.80	86.54
50069	ANSI	Long		2,500.00	2,500.00	-	99.00	-	-	-	-
53199	BEAM	Long		(687.50)	(687.50)	-	184.00	206.28	-	-	-
54801	PBJHA	Long		-	-	-	184.00	-	-	-	-
				9,446.88	7,715.63	1,731.25	1,390.41	326.96	1,111.34	500.10	611.24
Taxes Paid										1,400.00	
Year to Date Totals				33,000.00	25,096.88	7,903.13	4,181.94	571.35	4,643.31	689.49	2,553.82

Print Graph

Figure 9U

NET WORTH REPORT PARAMETERS

Date Range 4/01/1999 to 6/30/1999

Report Format: Net Cash-YTD

Stock Selection:

Long Positions ○

Short Positions ○

Gain Positions ○

Loss Positions ○

Portfolio AWC

Pick Stocks ALL

Short-Term Positions ○

Long-Term Positions ○

Proceed

NET WORTH REPORT
YEAR TO DATE
April 1, 1999 through June 30, 1999

Reference Number	Symbol	Positon	Date Bought	Date Sold	Current Value	Sold Basis	Bought Value	Gain/Loss	Commissions and Costs	Margin Interest	State and Federal Taxes	Net Worth
Cash Balance												15,493 43
28231	HSY	Long	4/07/1999		5,200.00	-	5,568.75	(368.75)	62 50	131 01	(253 02)	(309 24)
47104	EXDS	Long	4/23/1999	5/13/1999	-	9,262.50	7,400.00	1,862.50	205.31	15.00	738 99	903.20
-	HSY	Long	4/20/1999	5/13/1999	-	6,500.00	5,500.00	1,000.00	205.31	14.38	351.14	429.17
88682	EXDS	Long	4/26/1999	6/23/1999	-	9,200.00	8,150.00	1,050.00	236.81	-	365.94	447.25
37751	EMBU	Long	4/22/1999		10,000.00	-	4,150.00	5,850.00	50.00	-	2,610.00	3,190.00
37728	EMBU	Long	4/22/1999		20,000.00	-	8,100.00	11,900.00	152.50	-	5,286.38	6,461.13
36694	EXDS	Long	4/27/1999	6/29/1999	-	5,378.13	5,250.00	128.13	236.68	-	(48.85)	(59 71)
69811	BEAM	Long	4/23/1999	5/27/1999	-	18,375.00	16,062.50	2,312.50	355.62	-	880.60	1,076.28
47892	EBAY	Long	4/27/1999	6/14/1999	-	6,225.00	10,743.75	(4,518.75)	137.50	60.00	(2,122.31)	(2,593.94)
					35,200.00	54,940.63	70,925.00	19,215.63	1,642.23	220.39	7,808.85	9,544.16
86388	INTC	Long	5/03/1999	5/05/1999	-	30,937.50	31,437.50	(500.00)	206.04	-	(317.72)	(388.32)
80027	MCK	Long	5/13/1999	6/14/1999	-	6,500.00	7,475.00	(975.00)	137.50	24 00	(511.43)	(625.08)
83194	BEAM	Long	5/27/1999	5/27/1999	-	22,562.50	16,750.00	5,812.50	805 76	-	2,253.03	2,753.71
					-	60,000.00	55,662 50	4,337.50	1,149.30	24 00	1,423.89	1,740 31
26444	BEAM	Long	6/02/1999	6/04/1999	-	19,562.50	18,250.00	1,312.50	405.62	4.00	406.30	496.58
27475	EMBU	Long	6/02/1999		20,000.00	-	12,050.00	7,950.00	102.50	-	3,531.38	4,316.13
92731	EBAY	Long	6/04/1999		6,225.00	-	8,115.63	(1,890.63)	102.50	116.68	(949.41)	(1,160.39)
-	UAL	Long	6/09/1999		6,400.00	-	6,556.25	(156.25)	102.50	-	(116.44)	(142.31)
46520	TSEMF	Long	6/10/1999	6/24/1999	-	2,975.00	2,900.00	75.00	37.56	-	16.85	20.59
46518	TSEMF	Long	6/10/1999	6/24/1999	-	743.75	712.50	31.25	17.57	-	6.16	7.52
46509	TSEMF	Long	6/10/1999	6/24/1999	-	7,437.50	7,125.00	312.50	155.16	-	70.80	86.54
50069	ANSI	Long	6/24/1999		11,375.00	-	8,875.00	2,500.00	99.00	-	1,080.45	1,320.55
53199	BEAM	Long	6/29/1999		19,312.50	-	20,000.00	(687.50)	184.00	206.28	(485 00)	(592.78)
54801	PBJHA	Long	6/29/1999		1,500 00	-	1,500.00	-	184.00	-	(82.80)	(101.20)
					64,812.50	30,718.75	86,084.38	9,446.88	1,390.41	326.96	3,478.28	4,251.23
Year to Date Totals					100,012.50	145,659.38	212,671.88	33,000 00	4,181.94	571.35	12,711 02	31,029 12

Print Graph

Figure 9V-1

HOLD

NET WORTH FINANCIAL POSITION STATEMENT

FINANCIAL POSITION
as of June 30, 1999

Assets			Liabilities			
Cash			Margin		2,500.00	-
			Margin Interest		97.98	
			Cash Invested		3,102.50	2,500.00
Short-Term Positions:			State Taxes Payable:			
Unrealized-Gains			Unrealized Gains/Losses:			
Unrealized-Losses		6,500.00	Short-Term	79.95		
			Long-Term	-	79.95	
			Realized Gains/Losses:			
Long-Term Positions:			Short-Term	-		
Unrealized-Gains			Long-Term	-	-	
Unrealized-Losses						
			Federal Taxes Payable:			
			Unrealized Gains/Losses:			
			Short-Term	319.81		
			Long-Term	-	319.81	
			Realized Gains/Losses:			
			Short-Term	-		
			Long-Term	-	-	399.76
					6,100.24	
Reserve for Taxes on Sold		-				
Net Proceeds on Sold		-	Net Worth		399.76	
		6,500.00	-		6,500.00	

New Worth Activity Statement
April 1 through June 30

			% of Total Revenues	% of Bought Basis	% Cash Invested	
			1,000 00	5,602.50	3,102.50	
Revenues:						
Short-Term Gains/Losses:						
Unrealized:						
Gains	1,000.00					
Losses	-	1,000.00				
Realized:						
Gains	-					
Losses	-	-	1,000.00	100.00%	17.85%	32.23%
Long-Term Gains/Losses:						
Unrealized:						
Gains	-					
Losses	-	-				
Realized:						
Gains	-					
Losses	-	-	-	0.00%	0.00%	0.00%
Net Gaians/Losses			1,000.00	100.00%	17.85%	32.23%
Dividends.						
Cash		-				
Stock		-	-	0 00%	0 00%	0 00%
Interest Income			-	0.00%	0.00%	0.00%
			1,000.00	100.00%	17.85%	32.23%
Expenses:						
Commissions		102.50		0.00%	0.00%	0.00%
Other Costs		-		0.00%	0.00%	0 00%
Margin Interest		97.98	200 48	20.05%	3 58%	6.46%
Net Worth before Taxes			799.52	79 95%	14.27%	25.77%
State and Federal Taxes			399.76	39.98%	7.14%	12.89%
Net Worth after Taxes			399.76	39.98%	7.14%	12.89%

Print Graph

Figure 9V-2

SOLD

NET WORTH FINANCIAL POSITION STATEMENT

FINANCIAL POSITION
as of June 30, 1999

Assets			Liabilities			
Cash			Margin			-
			Margin Interest			-
			Cash Invested			-
Short-Term Positions:			State Taxes Payable:			
Unrealized-Gains			Unrealized Gains/Losses:			
Unrealized-Losses		-	Short-Term	-		
			Long-Term	-		-
			Realized Gains/Losses:			
Long-Term Positions:			Short-Term	78 03		
Unrealized-Gains			Long-Term	-	78.03	
Unrealized-Losses						
			Federal Taxes Payable:			
			Unrealized Gains/Losses:			
			Short-Term	-		
			Long-Term	-	-	
			Realized Gains/Losses:			
			Short-Term	273.11		
			Long-Term	-	273.11	351.14
Reserve for Taxes on Sold		351.14			351.14	
Net Proceeds on Sold		429.17	Net Worth		429.17	
		780.32	-		780.32	

New Worth Activity Statement
April 1 through June 30

				% of Total Revenues	% of Bought Basis	% Cash Invested
Revenues:				1,000.00	5,602.50	3,102.50
Short-Term Gains/Losses:						
Unrealized:						
Gains	-					
Losses	-	-				
Realized:						
Gains	1,000.00					
Losses	-	1,000.00	1,000.00	100.00%	17.85%	32.23%
Long-Term Gains/Losses:						
Unrealized:						
Gains	-					
Losses	-	-				
Realized:						
Gains	-					
Losses	-	-	-	0.00%	0.00%	0.00%
Net Gains/Losses			1,000.00	100.00%	17.85%	32 23%
Dividends:						
Cash		-				
Stock		-	-	0.00%	0.00%	0.00%
Interest Income			-	0.00%	0.00%	0.00%
			1,000.00	100.00%	17.85%	32.23%
Expenses:						
Commissions		205.31		0.00%	0.00%	0.00%
Other Costs		-		0.00%	0.00%	0.00%
Margin Interest		14.38	219.69	21 97%	3 92%	7.08%
Net Worth before Taxes			780.32	78.03%	13.93%	25.15%
State and Federal Taxes			351.14	35.11%	6 27%	11.32%
Net Worth after Taxes			429.17	42.92%	7.66%	13.83%

Print Graph

Figure 9V-3

NET WORTH FINANCIAL POSITION STATEMENT

FINANCIAL POSITION
as of June 30, 1999

Assets			Liabilities		
Cash		15,493 43	Margin		16,000 00
			Margin Interest		453.97
			Cash Invested		59,955.13
Short-Term Positions:			State Taxes Payable:		
Unrealized-Gains			Unrealized Gains/Losses (deferred):		
Unrealized-Losses		100,012.50	Short-Term	2,360.34	
			Long-Term	-	2,360.34
			Realized Gains/Losses (current):		
Long-Term Positions:			Short-Term	464 33	
Unrealized-Gains			Long-Term	-	464.33
Unrealized-Losses					
			Federal Taxes Payable:		
			Unrealized Gains/Losses (deferred)		
			Short-Term	8,261.19	
			Long-Term	-	8,261 19
			Realized Gains/Losses (current):		
			Short-Term	1,625.16	
			Long-Term	-	1,625.16
					89,120.12
Reserve for Taxes on Sold		689.49	Taxes Paid		(1,400.00)
					87,720.12
Net Proceeds on Sold		2,553.82	Net Worth		31,029.12
		118,749.24	-		118,749.24

New Worth Activity Statement
April 1 through June 30

				% of Total Revenues	% of Bought Basis	% Cash Invested
				33,000.00	215,247.29	169,747.29
Revenues:						
Short-Term Gains/Losses:						
Unrealized:						
Gains	25,096.88					
Losses		25,096.88				
Realized:						
Gains	7,903.13					
Losses		7,903.13	33,000.00	100.00%	15.33%	19.44%
Long-Term Gains/Losses:						
Unrealized:						
Gains	-					
Losses	-	-				
Realized:						
Gains	-					
Losses	-	-	-	0.00%	0.00%	0.00%
Net Gains/Losses			33,000.00	100.00%	15.33%	19.44%
Dividends:						
Cash		-				
Stock		-	-	0.00%	0.00%	0.00%
Interest Income			-	0.00%	0 00%	0.00%
			33,000.00	100.00%	15.33%	19.44%
Expenses:						
Commissions		4,181.94		0.00%	0.00%	0.00%
Other Costs		-		0.00%	0.00%	0.00%
Margin Interest		571.35	4,753 29	14.40%	2.21%	2.80%
Net Worth before Taxes			28,246.71	85.60%	13.12%	16.64%
State and Federal Taxes			12,711.02	38 52%	5.91%	7.49%
Net Worth after Taxes			15,535.69	47.08%	7.22%	9.15%

Print Graph

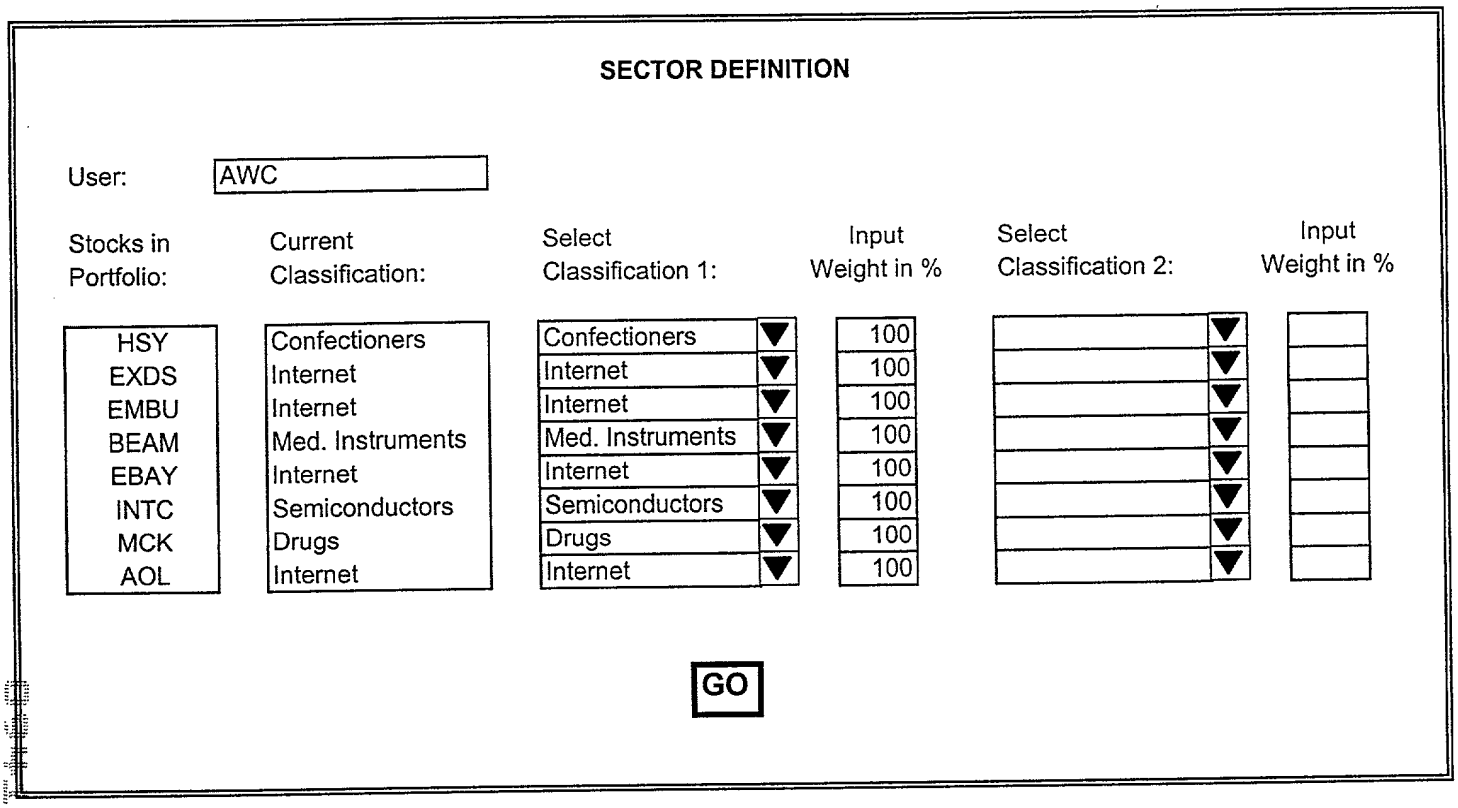

SECTOR DEFINITION
User:
AWC
Stocks in Portfolio:
Current Classification:
Select Classification 1:
Input Weight in %
Select Classification 2:
Input Weight in %
HSY
EXDS
EMBU
BEAM
EBAY
INTC
MCK
AOL
Confectioners
Internet
Internet
Med. Instruments
Internet
Semiconductors
Drugs
Internet
Confectioners
Internet
Internet
Med. Instruments
Internet
Semiconductors
Drugs
Internet
100
100
100
100
100
100
100
100
GO

Figure 10

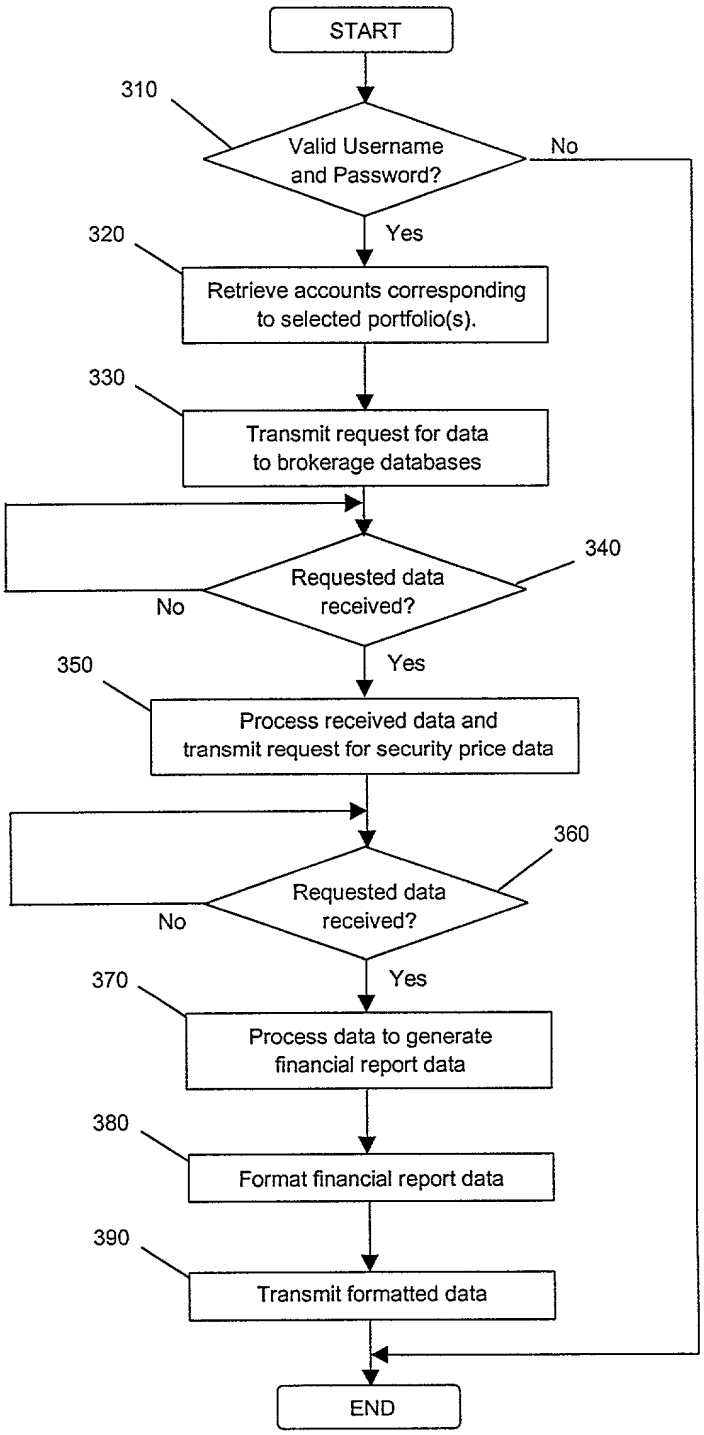
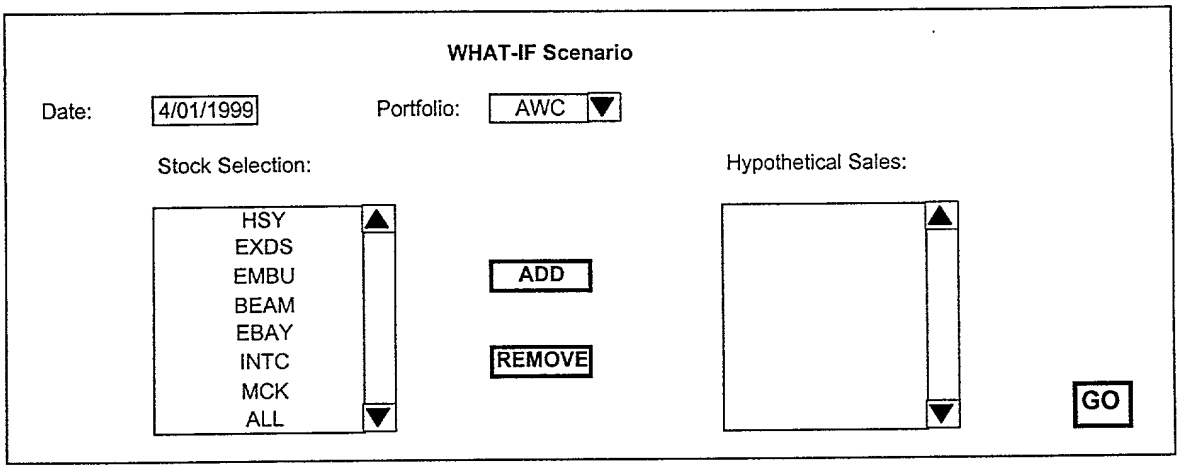

START
310
Valid Username and Password?
No
Yes
320
Retrieve accounts corresponding to selected portfolio(s).
330
Transmit request for data to brokerage databases
340
Requested data received?
No
Yes
350
Process received data and transmit request for security price data
360
Requested data received?
No
Yes
370
Process data to generate financial report data
380
Format financial report data
390
Transmit formatted data
END

Figure 11

Figure 12



FINANCIAL POSTION
as of June 30, 1999

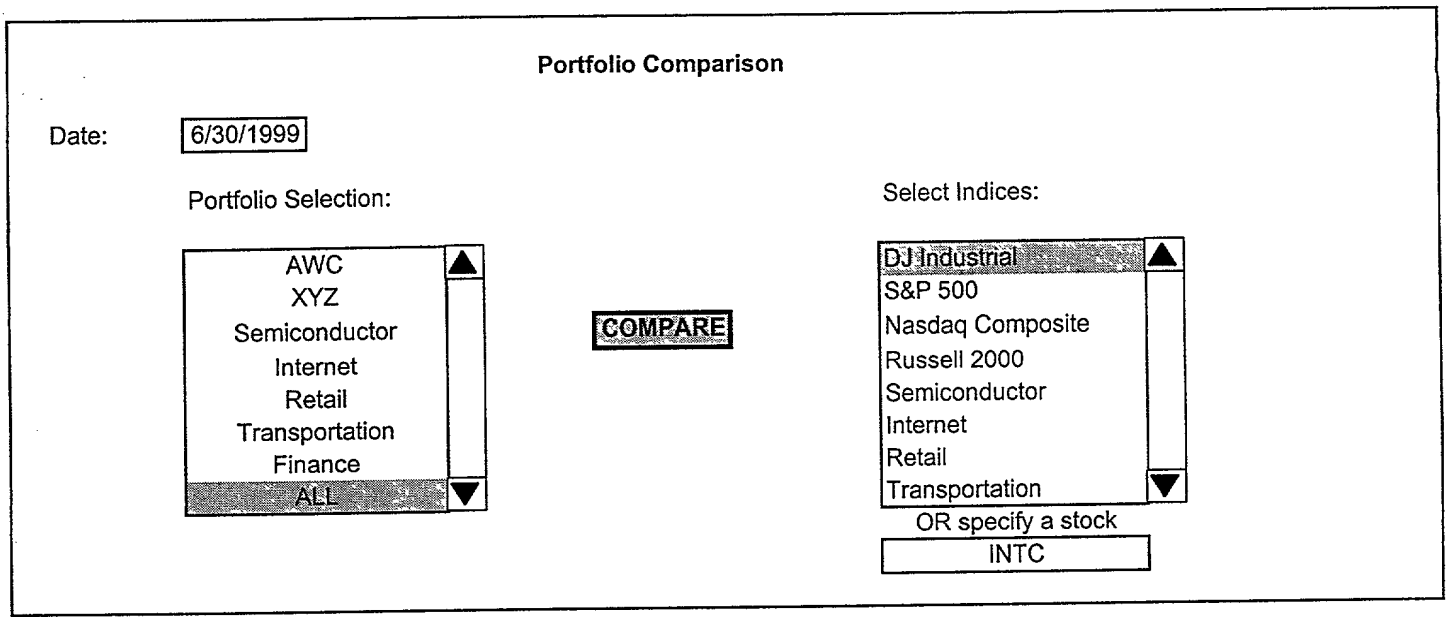
Assets		Liabilities & Equity	
Cash	5,000	Margin	16,000
Cash-Net Proceeds on Sold	2,554	Margin Interest	382
Securities Current Basis	100,013	Taxes Payable	12,743
		Cash Invested	59,955
Reserve for Taxes on Sold	2,089	Net Worth	20,575
	109,656		109,656

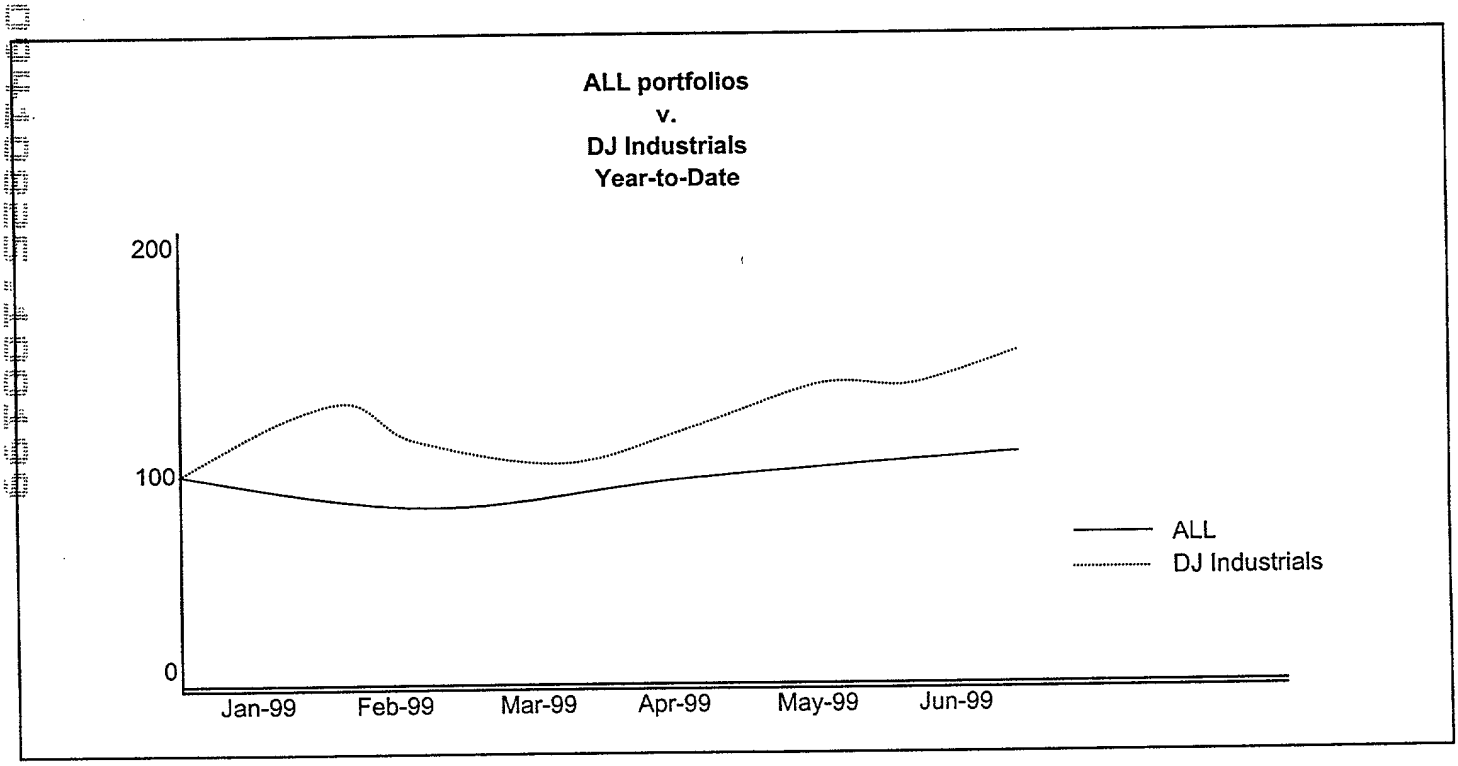
Net Worth Activity

		Total Revenues	Bought Basis	Cash Invested
		33,000	67,013	59,955
Net Gains/Losses	33,000	100.00%	49.24%	55.04%
Dividends/Interest		0.00%	0.00%	0.00%
	33,000	100.00%	49.24%	55.04%
Commissions & Costs	4,182	12.67%	6.24%	6.98%
Margin Interest	499	1.51%	0.75%	0.83%
	4,681	14.19%	6.99%	7.81%
Net Worth before Taxes	28,319	85.81%	42.26%	47.23%
State and Federal Taxes	12,743	38.62%	19.02%	21.25%
Net Worth after Taxes	15,575	47.20%	23.24%	25.98%

Defendant's Exhibit 00014

Figure 13


Portfolio Comparison
Date:
6/30/1999
Portfolio Selection:
AWC
XYZ
Semiconductor
Internet
Retail
Transportation
Finance
ALL
COMPARE
Select Indices:
DJ Industrial
S&P 500
Nasdaq Composite
Russell 2000
Semiconductor
Internet
Retail
Transportation
OR specify a stock
INTC


ALL portfolios
v.
DJ Industrials
Year-to-Date
200
100
0
Jan-99
Feb-99
Mar-99
Apr-99
May-99
Jun-99
ALL
DJ Industrials

DECLARATION AND POWER OF ATTORNEY

As a below named inventor, I hereby declare that:

My residence, post office address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: "INVESTMENT PORTFOLIO TRACKING SYSTEM AND METHOD"

the specification of which is attached hereto unless the following box is checked:

☐ was filed _____ as United States Application Number or PCT International Application Number PCT/_____ and was amended on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is known by me to be material to patentability as defined in Title 37, Code of Federal Regulations § 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below any foreign application for patent or inventor's certificate, or PCT International application having a filing date before that of the application on which priority is claimed:

PRIOR FOREIGN APPLICATION(S)

NUMBER	COUNTRY	DAY/MONTH/YEAR FILED	PRIORITY CLAIMED

☐ I hereby claim the benefit under Title 35, United States Code § 119(e) of any United States provisional application(s) listed below.

APPLICATION NO.	FILING DATE

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s), or § 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose information which is known by me to be material to patentability as defined in Title 37, Code of Federal Regulations § 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application:

APPLICATION SERIAL NO.	FILING DATE	STATUS: PATENTED, PENDING, ABANDONED

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